

# REPORT ON THE UNIVERSITY OF CALIFORNIA, BERKELEY FACULTY CLIMATE SURVEY

**ANGELICA STACY**, ACTING VICE PROVOST FOR ACADEMIC AFFAIRS AND FACULTY WELFARE, ASSOCIATE VICE PROVOST FOR FACULTY EQUITY

**SHELDON ZEDECK**, FORMER VICE PROVOST FOR ACADEMIC AFFAIRS AND FACULTY WELFARE

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In the spring of 2009, the Office of the Vice Provost for Academic Affairs and Faculty Welfare and the Office for Faculty Equity administered a web-based survey on workplace climate and career/life issues to all tenured and tenure-track faculty at UC Berkeley.<sup>1</sup> Similar surveys were administered to UC Berkeley academic and nonacademic staff about six months prior to the administration of the faculty survey. This is only the second time that a faculty workplace climate survey has been conducted. As such, it provides a valuable opportunity to examine how our university as an institution is doing with respect to the experiences of our ladder-rank faculty.<sup>2</sup>

A healthy climate is one in which faculty feel welcomed, respected, supported, and valued, and are consequently able to be their most productive and successful, professionally and personally. Measuring institutional success by outputs of books, articles, patents, research grants, graduate student success, and other traditional standards is one set of important measures. Asking faculty directly about their working lives in a wide variety of areas—including

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<sup>1</sup> A copy of the survey is available here: <http://ucfamilyedge.berkeley.edu/UCB%20Faculty%20Climate%20Survey.html>.

<sup>2</sup> Furloughs were instituted in August of 2009, a few months after the survey was administered. At that time, faculty were already anticipating budget cuts, staff layoffs, and furloughs.

*aspects of career satisfaction, merit and promotion, career support, and career/life issues—* provides a different approach to understanding institutional success. It also affords a chance to examine the varying experiences of faculty by academic rank, age, ethnicity and citizenship status, academic field, family status, and gender.

The first faculty climate survey, conducted in 2003, when compared with the results of this survey, provides a sense of change over time for some workplace and career/life climate dimensions assessed in this survey.<sup>3</sup> Comparison data are also drawn from two additional sources: a 2002-2003 UC Berkeley Work and Family Survey,<sup>4</sup> and items from the National Institute for Occupational Safety and Health (NIOSH) Quality of Work Life Questionnaire (a nationally representative, stratified, weighted survey conducted as part of the National Opinion Research Center's General Social Survey in 2006).<sup>5</sup>

There were 633 respondents to the Faculty Climate Survey, representing an overall response rate of 41% (see the Appendix, Figure 1, for response rates by major fields<sup>6</sup>). There was a higher response rate among Assistant Professors compared to other ranks (53% vs. 44% of the Associate Professors, 37% of the Full Professors below Step VI, 37% of the Full Professors at Steps VI through IX, and 39% of the Full Professors above scale), among women compared to men (51% vs. 38%), and among underrepresented minorities (URM)<sup>7</sup> compared to other racial/ethnic groups (49% vs. 42% of the White faculty and 31% of the Asian faculty). Although the response rate was lower than the goal, considering the particularly bleak climate of university budget cuts and State of California economic difficulties that existed when the survey was administered, it is considered adequate.

The findings from this survey will allow for reflection on the areas in which things are going well for the majority of faculty respondents, as well as the areas in which we can improve or

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<sup>3</sup> A *Berkeleyan* article summarizing the findings from the 2003 Faculty Climate Survey is available here: [http://www.berkeley.edu/news/berkeleyan/2004/10/08\\_climate.shtml](http://www.berkeley.edu/news/berkeleyan/2004/10/08_climate.shtml). A PowerPoint presentation including data on students and faculty from 2004 is available here: [http://evcp.chance.berkeley.edu/documents/Reports/CampusClimateSurvey2004\\_files/v3\\_document.htm](http://evcp.chance.berkeley.edu/documents/Reports/CampusClimateSurvey2004_files/v3_document.htm)

<sup>4</sup> Administered by Mary Ann Mason, Angelica Stacy, and Marc Goulden as a prelude to the UC Faculty Family Friendly Edge project ([ucfamilyedge.berkeley.edu](http://ucfamilyedge.berkeley.edu)). A report on the findings of the 2002–2003 Work and Family Survey (including all UC campuses) is available here: <http://ucfamilyedge.berkeley.edu/ucfamilyedge.pdf>

<sup>5</sup> Information on this survey is available here: <http://www.cdc.gov/niosh/topics/stress/qwlquest.html>

<sup>6</sup> The Appendix is available here: <http://facultyequity.chance.berkeley.edu/research/research.shtml>.

<sup>7</sup> Underrepresented minorities include Hispanics, African Americans, and American Indians.

invest additional resources. In some cases, the experience of the majority is positive but a particular subgroup of the whole, such as faculty in a particular academic field or rank, is less satisfied, less aware, or in need of additional support.

This report describes demographics, selected findings from each of the main topical areas, and major conclusions. It also includes discussion of themes that cut across survey topics when relevant, and incorporates faculty comments from open-ended questions to illustrate particular findings. The report ends with recommendations that should serve to guide efforts toward having a climate that promotes productivity and excellence for all UC Berkeley ladder-rank faculty.

## **Report Sections**

### **Demographics**

This section provides information on the Berkeley faculty as a population and the faculty respondents to the survey. Characteristics of faculty respondents are discussed, including rank, gender, citizenship status, marital status, spousal employment, disability, sexual orientation, child dependents, and adult dependents. Where relevant, differences are noted.

### **Career Satisfaction**

This section of the report addresses overall career satisfaction, as well as satisfaction with many different aspects of the respondents' careers, including factors that benefit faculty members' personal lives (for example, benefits, housing, support for work/family balance, and support for diversity), aspects of their work (for example, quality of graduate students and teaching, advising, and committee responsibilities), and components related to status (for example, salary, additional compensation, current rank, and the merit and promotion process). There is an examination of satisfaction with career factors compared to their perceived importance; a discussion of satisfaction with academic rank, including changes between 2003 and 2009; and analyses of satisfaction with salary and additional compensation, and satisfaction with support for diversity. Differences between ranks, gender, ethnicity, and field are highlighted and discussed.

### **Merit and Promotion**

This section of the report contains three topics. The first, "use and knowledge of merit and promotion policies and processes," explores the many different types of merit and promotion policies at Berkeley and the ways in which understanding varies among different groups, including gaps in knowledge. The second topic, "faculty review criteria," examines how

important various criteria currently are to faculty respondents for their own merit and promotion, and how important they feel each criterion should be. Important differences are discussed. This topic also has a subtopic focusing on respondents' evaluation of case scenarios for merit increases. The third topic, "slow or delayed career progression," discusses some of the factors that respondents who rate themselves as slow or delayed feel contribute to their lack of progression.

### **Career Support**

This section focuses on the broad area of career support, including four main topics. In the first topic, "multidisciplinary work," faculty indicate the extent to which they engage in multidisciplinary work and how they feel about this type of work at Berkeley (for example, if these efforts are encouraged, valued, supported, and rewarded). The second topic, "mentoring and support," addresses both formal and informal support, including how much mentoring or support they currently receive in a variety of areas (research, career advancement, departmental issues, and teaching) and how much they would like to receive. The third topic, "retention," focuses on how faculty feel about retention issues and their own actions related to outside offers. Respondents also selected the top five reasons they would consider an outside offer, and differences in these responses among faculty by discipline, rank, gender, and ethnicity are discussed. The final topic, "department/unit quality and climate," explores faculty perceptions of their faculty colleagues and the climate in their unit specifically. Faculty also rate the climate of their unit more broadly in terms of leadership/administration, feedback/evaluation, unit planning, relationships, and work/life issues.

### **Career/Life Issues**

This section examines two main topics. The first topic, "work/life" examines work productivity and satisfaction, work/life balance (including stress, health, and work/life conflict), and potential discrimination. Many findings on this topic are compared to the findings for the U.S. workforce, Berkeley nonacademic staff, and Berkeley academic staff. The second topic, "family-responsive policies," discusses faculty respondents' awareness and use of family-responsive policies (including childbearing leave, active service–modified duties [ASMD], and stopping the tenure clock), comparing their responses to those of faculty respondents in 2003. It also discusses faculty respondents' support for family-responsive policies and the numbers of respondents with children. This topic also has a section on child care, including who has sought it, the availability in the community, and the need for it.

## Conclusions and Recommendations

The report ends by summarizing some of the ways in which many faculty are satisfied, supported, encouraged, and happy, and then focusing on opportunities for change in two broad areas: taking advantage of existing opportunities with resources and money we already have, and resources to enhance excellence and innovation.

## DEMOGRAPHICS

In the six years between the two climate surveys conducted at UC Berkeley, the demographics of the ladder-rank faculty changed in several ways, including a small increase in the overall total, from 1,543 in 2003 to 1,585 in 2009 (see Figure 1a for absolute faculty counts and survey sample percentages; note that the faculty head count for 2011 has decreased to 1,533 due to recent hiring restrictions). The percentage of the faculty who were Asian or URM increased slightly. For example, the percent of URM ladder-rank faculty increased from 6% to 7% of the faculty, or from 93 to 111 faculty members. The proportion of faculty women increased significantly, from 24% to 29%, an increase of 90 women faculty. We also had a higher proportion of lower-ranked faculty in 2009 than we did six years earlier, as well as higher proportions of both the oldest and the youngest faculty. As a population, however, our faculty are continuing to get older, with the average age of a UC Berkeley faculty member being over 51, compared to an average of 46 years of age among the faculty 40 years ago.<sup>8</sup>

Compared to the population of faculty at Berkeley, Asians are somewhat underrepresented among the respondents (8%, compared to 12% of the population in 2009), and women and Assistant Professors are somewhat overrepresented (35% of the respondents were women, compared to 29% of the faculty population in 2009, and 23% of the respondents were Assistant Professors, compared to 17% of the faculty population in 2009). The response rates by age and disciplinary field are fairly congruent with the population.

Other demographic characteristics the survey measured (see Figure 1b) include current citizenship status, marital status, spousal employment, disabilities, sexual orientation, and dependent children.

- *Current citizenship:* 82% of the respondents are U.S. citizens, 13% are permanent residents, and 3% are nonresidents. It is likely that a higher percentage of faculty began their career as nonresidents or permanent residents and have since become citizens or permanent residents.
- *Marital status:* Most of the respondents are married or partnered (83%), with just 6% indicating that they have never been married or partnered. A higher percentage of men than women is married or partnered—88% of men compared to 81% of women. Conversely, almost twice as many women respondents are currently divorced or

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<sup>8</sup> Source: UC Berkeley faculty personnel records, 1979–2009.

separated than men (9% compared to 5%). Six percent of the faculty overall are currently divorced or separated (this undercounts the number of faculty who have ever been divorced or separated).

- *Spousal employment*: About two-thirds of the respondents' spouses and partners are employed either full- or part-time. However, examining this area by gender shows that many more women respondents have a spouse or partner who is employed full-time (see the Appendix, Figure 2). Seventy-five percent of the women respondents have a full-time working spouse/partner, and an additional 8% have a spouse or partner working part-time. In comparison, just 48% of the men respondents have a full-time working spouse or partner, and 23% have a part-time working spouse or partner. More than twice as many men respondents as women have an unemployed spouse or partner (12% compared to 5%). A small percentage of both men and women respondents have retired spouses or partners (9%).
- *Disability*: A very small percentage of faculty respondents indicated that they have a disability (3%). Of these, the most common type of reported disability was a physical or orthopedic disability (2%), followed by a learning or cognitive disability, and blindness or visual impairment.
- *Sexual orientation*: While few respondents self-identify as gay (3%), lesbian (1.5%), or bisexual (1%), an additional 8% declined to state their sexual orientation. Eighty-seven percent identify as heterosexual or straight.
- *Child dependents*: Most faculty respondents have one or more children (72%). Of these, 25% have one child and 42% have two or more, including 12% with three or four. More men than women have children—75% of men compared to 65% of women.
- *Adult dependents*: Six percent of faculty respondents report providing a substantial amount of care (five or more hours per week) to an adult (most commonly a parent, with the second most common being a spouse or partner), including 9% of women and 5% of men.



Figure 1a. Characteristics of the UC Berkeley Faculty

Characteristic	Spring 2003	Spring 2009	Spring 2011	Survey Respondents
Asian	10%	12%	12%	8%
Underrepresented minority*	6%	7%	8%	7%
Female	24%	29%	29%	35%
Assistant professor	13%	17%	15%	23%
Associate professor	18%	19%	20%	20%
Age 65 or older	9%	13%	14%	12%
Under age 40	19%	21%	19%	21%
Arts and humanities	16%	16%	15%	18.5%
Social sciences	18%	18%	18%	18%
Life sciences	14%	15%	15%	16.5%
Physical sciences, math, engineering	30%	30%	29%	27%
Professional schools	21%	21%	23%	20%
Total number of faculty	1,543	1,585	1,533	633 respondents

\*Includes Hispanic, African American, and American Indian.

Source: UC Berkeley Faculty Climate Survey, 2003 and 2009, UC Berkeley faculty personnel records.

Figure 1b. Additional Characteristics of the Survey Respondents

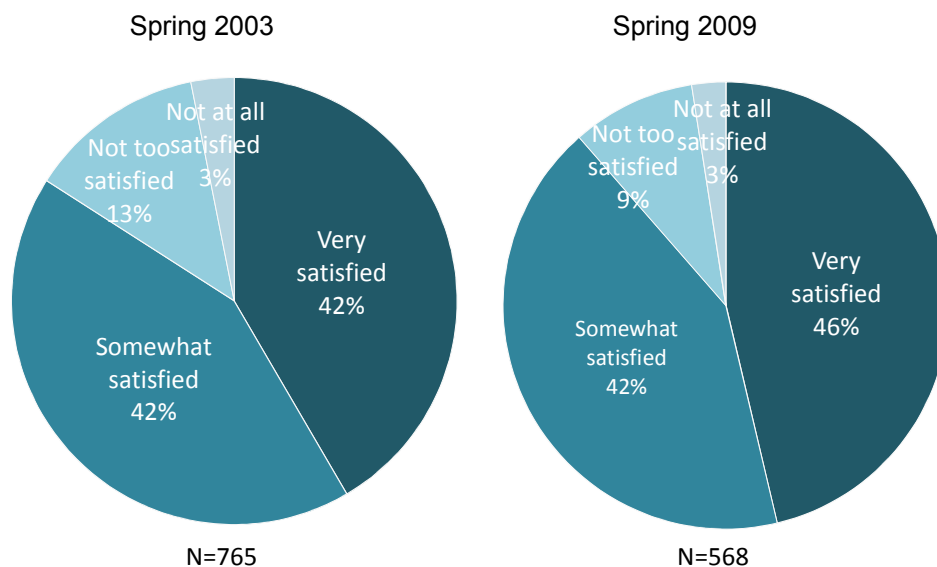
Characteristic	Survey Respondents
U.S. citizen	82%
Married/partnered	83%
Divorced/separated/widowed	7%
Spouse/partner employed full- or part-time	61%
Disabled	3%
Heterosexual	87%
Gay/lesbian/bisexual	3%/1.5%/1%
Decline to state	8%
Have one child	25%
Have two or more children	42%
With substantial adult care	6%
Number of respondents	633

Source: UC Berkeley Faculty Climate Survey, 2003 and 2009, UC Berkeley faculty personnel records.

## CAREER SATISFACTION

Career satisfaction is related to a number of different factors; many of these are explored below. As a useful barometer, however, faculty were first asked to rate their satisfaction “all in all” with their job. Figure 2 shows that most UC Berkeley faculty are either very satisfied or somewhat satisfied, and that there is basically congruence between the ratings from 2003 and those from 2009. Eighty-eight percent of faculty were very or somewhat satisfied in 2009, compared to 84% in 2003, including an increase in the percentage that report being very satisfied from 42% to 46%. Only 2% are not at all satisfied.

Figure 2. *How satisfied would you say you are with your job?*



Source: UC Berkeley Faculty Climate Survey, 2003 and 2009.

Assistant Professors as a group, compared to faculty in the other ranks, have higher rates of being very satisfied (54%), and compared to 2003 experienced the largest increase in this area (in 2003, 84% were very or somewhat satisfied, with 37% very satisfied, compared to 92% very or somewhat satisfied in 2009).

A more specific look at the particular elements that account for high levels of satisfaction among ladder-rank faculty at Berkeley identifies the following thematic areas of note, in that the majority of our faculty are satisfied (very or somewhat) with them:

- *Factors that benefit their personal life* (benefits, housing, support for work/family balance in their unit or department, and support for diversity in their unit or department)
- *Aspects of their work* (quality of graduate students, teaching responsibilities, advising responsibilities, and committee responsibilities)
- *Components related to status* (current rank, and the merit and promotion process)

More specific analyses of satisfaction among groups with different characteristics (rank, ethnicity and citizenship, gender, and age) indicate variations among these findings (discussed in the sections that follow). The only factor that changed markedly in the six-year period between the 2003 and 2009 surveys (not all of the same questions were asked in 2003) involves respondents' satisfaction with their housing situation, which increased dramatically (from 49% to 72% from 2003 to 2009). We surmise that two causes are mainly at play in this increase: changes in the housing market as a result of the economic recession and "housing bust," which have provided greater opportunities for homeownership in the local area, and additional financial support for housing in the form of loans by the institution. Fewer junior faculty than others are satisfied in this area, although they too had a large increase in the proportion that report being satisfied (from 33% in 2003 to 56% in 2009). For those who remain unsatisfied, the following statement by an Assistant Professor is typical: "*Basically, there is no way for me to afford to buy a home on*

### Faculty Speak to Their Overall High Satisfaction

*"Remarkable students, faculty, and staff. Teaching at Cal, and being surrounded by extraordinarily talented people. The satisfaction of knowing that I have my dream job at one of the best universities in the world."*

—Male Full Professor, below Step VI

*"Great colleagues; good salary; I LOVE teaching my undergrad courses—the undergraduate students are AMAZING; the respect I get from having this job; my research is fun and stimulating."*

—Female Assistant Professor

*"Tremendous freedom to pursue whatever I can find the resources to pursue; excellent students and colleagues; great overall campus environment."*

—Male Full Professor, Step VI–IX

*"The reality of young professors' lives today is that most of us (especially women) are in dual career partnerships, and want to raise children. This requires flexibility and accommodation—so far I have found Berkeley strong in this regard, and I hope it only gets stronger."*

—Female Assistant Professor

*"I love the University. I love the students both undergraduate and graduate. It's hard to imagine a place that is more congenial to intellectual and scholarly endeavors."*

—Female Full Professor, Step VI–IX

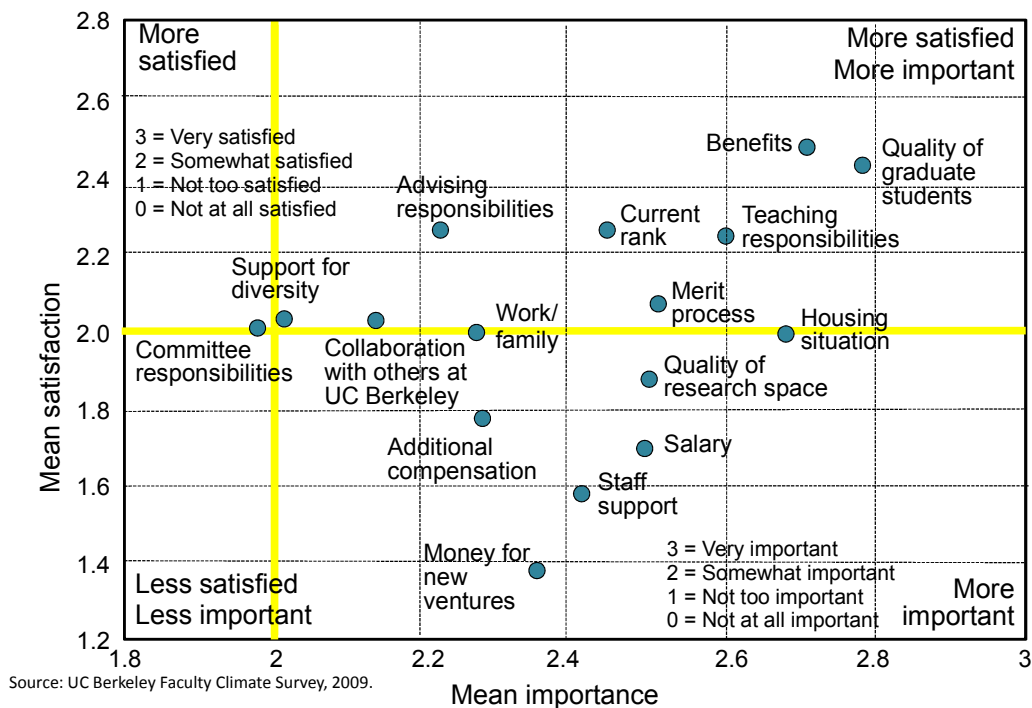
*"The symbolic meaning and joy of being able to work at the unique world model that Berkeley presents as a public university with its incredible diversity of students and mandate to serve public needs, as well as advance research."*

—Male Associate Professor

*my salary (or in combo with my partner) within a decent school district or in a neighborhood in which I feel safe.”*

Faculty respondents overall are least satisfied with the quality of their research space, their current salary, money for new ventures, additional compensation, and staff support. Figure 3 plots the level of satisfaction (y-axis) against the level of importance attached to each of the 16 elements (x-axis). It provides a quick snapshot of how various factors are related in terms of their relative perceived importance and satisfaction with them. The yellow lines indicate a mean score of 2.0. Elements on or above, and to the right of, the yellow lines indicate satisfaction and importance (either somewhat or very), and elements below and to the left of the lines indicate a lack of satisfaction and/or importance. The upper right quadrant indicates higher satisfaction and importance, and so, for example, “teaching responsibilities” has a mean satisfaction of about 2.2 (a little more than “somewhat satisfied” in aggregate) and a mean importance of 2.6 (close to “very important” in aggregate). In contrast, “money for new ventures” is in the bottom right quadrant and is rated a mean 2.4 in importance (between “somewhat important” and “very important”) but only a 1.4 in satisfaction (“not too satisfied”). The two factors with the most congruence between feelings of importance and satisfaction are “UC benefits” and “quality of graduate students” at UC Berkeley.

Figure 3. Mean Satisfaction vs. Mean Importance



## Satisfaction with Current Academic Rank

In both 2003 and 2009, faculty were asked about their level of satisfaction with their current faculty rank. As in the previous survey, the lowest levels of career satisfaction are in the middle ranks—the Associate Professor years (see Figure 4)—where only about two-thirds of respondents are very or somewhat satisfied (in particular, a very low percentage of Associate Professors are very satisfied with their rank).<sup>9</sup> Assistant and Full Professors have much higher rates of satisfaction with their rank.

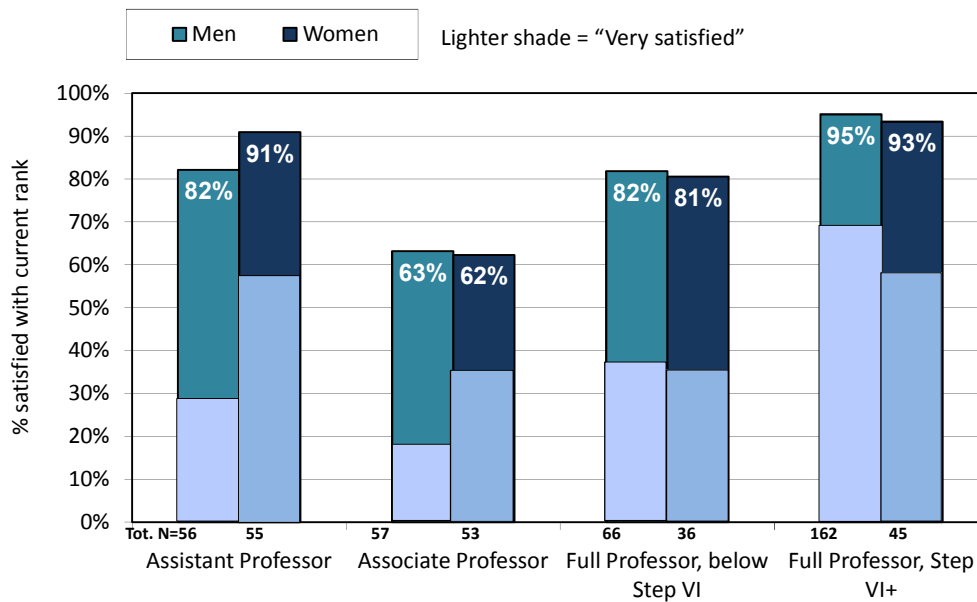
When examined over time (between 2003 and 2009), the *proportion* of those who are very satisfied with their current rank has changed:

- Fewer Assistant Professor men report being very satisfied (27% now compared to 39% in 2003).
- More Assistant Professor women report being very satisfied (51% compared to 46% in 2003).
- More men and women Full Professors at or above Step VI report being very satisfied (men respondents went from 46% to 68%, and women respondents shifted from 23% to 58%).
- Contrary to the 2003 survey, the number of women respondents who are “somewhat satisfied” or “very satisfied” with their rank is equal to or higher than the number of men respondents reporting these levels of satisfaction (with the exception of women Full Professors at or above Step VI).
- There is still, however, an interaction effect in which junior-rank women faculty are more likely to be very satisfied with their rank than are junior-rank men faculty, and senior men relative to junior men are more likely to be very satisfied, whereas junior and senior women are about equally satisfied. Thus for men, the highest ranks are strongly associated with being very satisfied with their rank, whereas for women they are not.

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<sup>9</sup> This is a pattern that has been observed by others as well. See, for example, Baldwin, Roger, Christina Lunceford, and Kim Vanderlinden. 2005. Faculty in the middle years: Illuminating an overlooked phase of academic life. *The Review of Higher Education* 29(1), 97-118; and The Ohio State University Offices of Human Resources and Institutional Research and Planning. 2008. From excellence to eminence: Highlight summary from the culture survey. Available here: <http://oaa.osu.edu/irp/culturesurvey/surveydata.php>.

Figure 4. Percentage Satisfied\* with Current Rank by Gender and Rank/Step



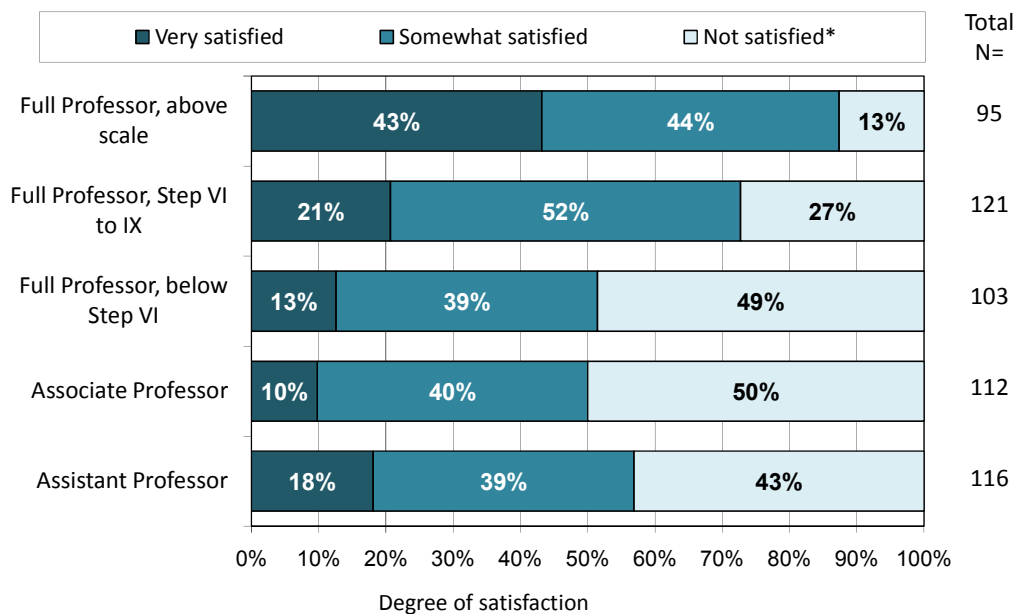
\*“Very” and “Somewhat satisfied” vs. “Not too satisfied” and “Not at all satisfied.”

Source: UC Berkeley Faculty Climate Survey, 2009.

### Satisfaction with Salary and Additional Compensation

There are clear distinctions by faculty rank with respect to salary and additional compensation (such as summer salary)—two of the factors that respondents in general are less satisfied with. Specifically, Associate Professors are the least satisfied with salary, and Full Professors above scale are the most satisfied (see Figure 5). Only 10% of the Associate Professors responding to the survey are very satisfied with their salary, compared to 43% of Full Professors above scale. Overall, less than 60% of Assistant Professors, and only about half of Associate Professors and Full Professors below Step VI are satisfied at all. One Assistant Professor commented, “*I am significantly underpaid and will go on the job market this coming year unless my salary is boosted considerably during my tenure/promotion review. . . . I am being paid substantially less than new hires who are far junior and less accomplished.*”

Figure 5. Degree of Satisfaction with Salary by Rank/Step



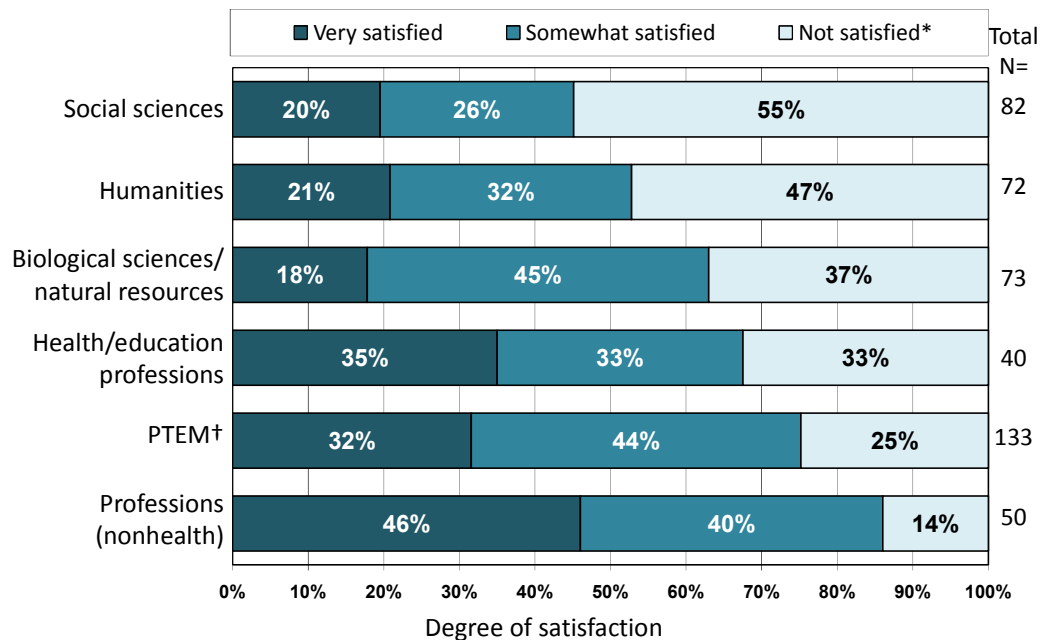
\*Includes "Not too satisfied" and "Not at all satisfied."

Source: UC Berkeley Faculty Climate Survey, 2009.

Respondents' satisfaction with additional compensation, such as summer salary, has distinctions by academic rank as well as by broad disciplinary field. Associate Professors are the least satisfied in this area, with a full 53% not satisfied and only 11% very satisfied. Assistant Professors also have lower rates of satisfaction compared to the other ranks (42% are not satisfied, compared to 85% of Full Professors above scale who are very or somewhat satisfied (see the Appendix, Figure 3).

When examined by the broad disciplinary areas, respondents in the physical sciences, technology, engineering, and math (PTeM) fields and those in the nonhealth professions (for example, law and business) have the highest rates of satisfaction with their additional compensation. In the social sciences and humanities, about half of the ladder-rank faculty are not satisfied in this area (see Figure 6). By ethnicity, URM faculty groups have the lowest rates of satisfaction with their additional compensation (only 48% are either very or somewhat satisfied, compared to 69% of White faculty). Ethnicity/citizenship and academic field are highly correlated, however, with URM faculty disproportionately represented among the social sciences, humanities, and health or education professions.

Figure 6. Degree of Satisfaction with Additional Compensation (Such as Summer Salary) by Broad Disciplinary Field



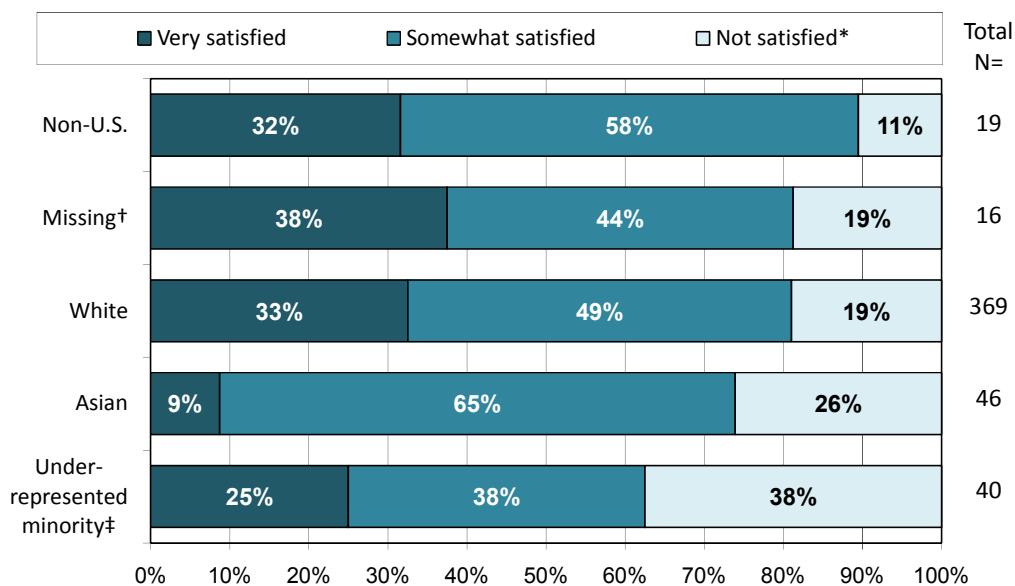
Source: UC Berkeley Faculty Climate Survey, 2009.

### Satisfaction with Support for Diversity

When asked about the importance of support for diversity in their unit or department, URM groups and Asian respondents are more likely to indicate that it is either very important or somewhat important. Two-thirds of URM groups and almost half of Asian faculty feel that support for diversity is very important (compared to 28% of White faculty), and nearly all URM and Asian faculty feel that it is at least somewhat important. Satisfaction with this aspect of their experience at Berkeley, however, does not match up to the level of perceived importance, with 38% of URM faculty not satisfied and only 25% very satisfied (see Figure 7). About one-quarter of Asian faculty are not satisfied and only 9% are very satisfied. In aggregate, the groups attaching the least importance in this area report the most satisfaction (see the Appendix, Figure 4). For example, Full Professors above scale as a group (mostly White) attach much less importance to this area than others (with a mean score equivalent to less than "somewhat important") but report the highest level of satisfaction with it (having a mean score equivalent to between "somewhat satisfied" and "very satisfied"). In contrast, URM faculty attach a mean score equivalent to between "somewhat important" and "very important" and a mean satisfaction score close to the equivalent of "not too satisfied."



Figure 7. Degree of Satisfaction with Support for Diversity in My Unit/Department, by Ethnicity/Citizenship



\*Includes "Not too satisfied" and "Not at all satisfied."  
 †Missing includes those who declined to state ethnicity/citizenship.  
 ‡Includes Hispanic, African American, and American Indian.

Source: UC Berkeley Faculty Climate Survey, 2009.

Berkeley URM faculty are a small group relative to the others, just 123 out of 1,533 total (in Spring 2011). Yet UC Berkeley has a strong institutional commitment to equity and inclusion and to being the kind of workplace that is eagerly sought and appreciated by all. As will be highlighted later in this report, fewer than half of the URM respondents feel that there is a demonstrated commitment to diversity in their unit (in contrast, most White faculty feel that the commitment to diversity is demonstrated). While not uncommon, this disconnect is important.

● ● ●  
*"Sometimes I sense that some people believe that I'm not as qualified as I am simply because of my ethnicity."*  
 —Male Full Professor

**Conclusion: Career Satisfaction**

Career satisfaction is complex and depends on many different factors. All in all, despite the difficult economic and budgetary period, many of the issues most important to Berkeley ladder-rank faculty—benefits, quality of graduate students, teaching responsibilities, current rank, merit process, and housing situation—are meeting their

expectations. Other areas, primarily monetary, resources, and diversity related (for certain subgroups), show room for improvement.

The significant dip in career satisfaction among middle-rank faculty, however, deserves additional consideration. These faculty are less satisfied than at least some other ranks with respect to salary, additional compensation, the merit and promotion process (including the weight nontraditional review criteria are given in merit and promotion reviews), committee responsibilities, and the amount and type of mentoring they receive (to be discussed at length later in this report). A good number of faculty at the Associate level also spend a very long time at this rank, which may contribute to lower rates of satisfaction (see for example, the UC Berkeley Strategic Plan for Equity, Inclusion, and Diversity: Pathway to Excellence, Appendices, Figure 21<sup>10</sup>). For example, five years after reaching the Associate rank, about 60% of White faculty in the science, technology, engineering and math (STEM) fields, which include the life sciences (compared to PTEM, which does not) and 53% of Asian faculty (54% of whom are in STEM fields) achieve Full Professor.<sup>11</sup> But fewer than 30% of White faculty in non-STEM fields and only about 25% of URM faculty (the majority of whom are in non-

### Faculty Speak to Overall Low Satisfaction

*"We are dramatically underpaid and not given the resources (access to child care or administrative support) to help relieve the burdens created by the amount of time our jobs require."*

—Male Assistant Professor

*"I am used to working very hard and striving to provide my students with the best possible education, all while publishing at the top of my field. I love my work. But the level of stress and exhaustion I experience just from trying to finish everything I need to do makes very poor health inevitable. 'Balance' is simply an unobtainable ideal."*

—Female Associate Professor

*"Budget stress is gutting our ability to get things done in the department: Research support and facilities, teaching support and facilities are all going downhill fast. Put money there instead of retention money to [a] mere 5% of faculty."*

—Male Full Professor, below Step VI

*"The funding issues are so SEVERE that we have to pay for our own phones, our own Xeroxing (even my tenure case documents, which are required, come out of my research fund), and syllabus and paper for courses. We are simply not supported at a level consistent with the expectations for excellence of the University."*

—Male, Assistant Professor

<sup>10</sup> Figure 21: Achieving Full Professor at Berkeley by Race/Ethnicity and STEM/non-STEM among Whites, page 21: [http://vcei.berkeley.edu/files/SPEID\\_Appendices\\_webversion.pdf](http://vcei.berkeley.edu/files/SPEID_Appendices_webversion.pdf).

<sup>11</sup> Source: UC Berkeley faculty personnel records, 1985–2010.

STEM fields) do. It is not until 10 years out, fully twice as many years, that 60% of White faculty in non-STEM fields achieve the rank of Full Professor. Even 12 years out, only a little more than half of URM faculty reach Full Professor, at which point nearly 90% of Asian and White faculty in the STEM fields have reached the same level. Looking more closely at these particular issues is likely to be beneficial both for the individuals at this level and for the institution as a whole.

## MERIT AND PROMOTION

All tenure-track faculty at UC Berkeley progress through a series of defined ranks and steps over the course of their career. Yet it is crucial to our academic excellence as well as the satisfaction and productivity of our faculty that we ask them to reflect on their own process and progress. This section, therefore, examines faculty use and knowledge of merit and promotion policies and processes, opinions and values regarding our existing merit and promotion criteria hierarchy, and reasons for slow progress, if relevant.

### Use and Knowledge of Merit and Promotion Policies and Processes

Faculty were asked about a variety of merit and promotion policies and processes at Berkeley, and to indicate whether they used the policy or process, did not need it, or did not know about it. For some policies and processes there are differences related to rank, field, or gender. Figure 8 shows the most commonly used policies and processes. In general, more men than women indicated that they did not need a particular policy or process (see the Appendix, Figure 5, for information by gender).

The most commonly used practices are “writing a summary of research, teaching, and service for reviewers,” and “providing a list of potential reviewers for promotion review,” with about three-quarters or more of the respondents doing so. “Submitting work in progress” (used by 40% of respondents overall) is largely related to academic field, with faculty in the humanities, nonhealth professions, and social sciences much more likely to use it for merit or promotion. “Requesting more than a one-step merit increase for recognition of a major accomplishment” (used by 30% of respondents) is used much more often by higher-ranked faculty, with 49% of Full Professors above scale requesting it, compared to just 9% of Assistant Professors. It is also the case that more than 20% of the respondents overall did not know about this practice, including 35% of Associate Professors. “Requesting a salary increase to match an outside offer” was used by about one-quarter of faculty, but more so by women (32%) than men (23%). Men Full Professors above scale and Assistant Professors were also more likely than women and Associate Professors to report that they did not need to “write a statement requesting that certain individuals not serve as reviewers for promotion reviews.”

Figure 8: Use of Merit and/or Promotion Policies/Processes

Type of Merit and/or Promotion Policy/Process	Used	Did Not Need	Did Not Know About
Wrote a summary of research, teaching, and service to be sent to reviewers for promotion review	84%	12%	3%
Provided a list of potential reviewers for promotion review	73%	24%	3%
Submitted work in progress (such as draft book chapters or manuscripts under review or in preparation)	40%	49%	10%
Requested more than a one-step merit increase for recognition of accomplishments (such as a major award)	30%	48%	21%
Requested a salary increase to match an outside offer	26%	67%	5%
Wrote a statement requesting that certain individuals not serve as reviewers for promotion reviews	20%	71%	8%

Note: Shading denotes the policy with the highest percentage of respondents who indicated that they did not know about it.

Total N = 559+

Source: UC Berkeley Faculty Climate Survey, 2009.

Figure 9 includes less commonly used merit and promotion policies and processes, but there are differences between populations. For example, although only 16% of overall faculty respondents reported “writing a response to the letter from reviewers and the ad hoc committee report before their promotion,” nearly one-third of faculty in the health and nonhealth professions did (see the Appendix, Figure 6). Few faculty respondents (only 10%) “requested a reconsideration of a negative decision for advancement,” and 84% reported that they did not need the policy. However, a higher proportion of Asian faculty (93%) indicated that they did not need the policy, compared to White (84%) and URM faculty (80%).

Figure 9. Use of Less Common Merit and/or Promotion Policies/Processes

Type of Merit and/or Promotion Policy/Process	Used	Did Not Need	Did Not Know About
Submitted additional materials while a promotion review was ongoing	17%	67%	14%
Wrote a response to the letters from reviewers and the ad hoc committee report before my promotion	16%	74%	8%
Wrote a response to the letter prepared by the chair/dean for both merit and promotion reviews	15%	75%	9%
Requested reconsideration of a negative decision for advancement	10%	84%	5%
Requested an extra merit increase one time for excellent teaching, service, or diversity-related work	8%	60%	31%
Requested a career equity review	3%	61%	34%

Note: Shading denotes policies with the highest percentage of respondents who indicated that they did not know about it.

Total N=559+

Source: UC Berkeley Faculty Climate Survey, 2009.

For two less frequently used policies—“requesting an extra merit increase one time for excellent teaching, service, or diversity-related work,” and “requesting a career equity review” (highlighted in Figure 9)—about one-third of the respondents did not know about the option. Looking more closely at these items shows that Associate Professors had the highest rates of this response, with 54% not knowing about the option to request an extra merit increase for teaching, service, or diversity (compared to just 8% of Full Professors above scale and 32% of Assistant Professors) and, similarly, 54% not knowing that they could request a career equity review (compared to 11% of Full Professors above scale and 33% of Assistant Professors). URM groups and Asian faculty also had higher rates of not knowing about career equity reviews than White faculty (41% compared to 30%). See the Appendix, Figures 7-8 for more detail.

### Conclusion: Merit and Promotion

Although it is unclear why particular groups are less likely than others to know about the existence of a particular policy, these findings suggest that we need to communicate to faculty more effectively with regard to the existence and utility of these policies. Associate Professors in particular seem to be most in need of increased or targeted communication with respect to the policies and processes that are available to them. In recent years, the central administration has sought to improve communication with new faculty by sponsoring new

faculty orientations and tenure workshops. Middle-rank faculty seem to be in need of similar support structures.

## FACULTY REVIEW CRITERIA

### Evaluation of Specific Faculty Review Criteria

Faculty are periodically reviewed for merit or promotion increases—either increases from one academic rank to the next or increases in step within rank. At a minimum, all faculty must be reviewed every five years. Faculty respondents were asked a twofold question: to rate how important various review criteria in the areas of research, teaching and mentoring, and service *currently are for their own merit and promotion*, and to indicate *how important they believe each criterion should be*. Review criteria that are perceived as very important obviously differ somewhat by broad disciplinary field. In the PTEM fields and biological sciences, for example, the strongest emphases are on journal articles, coauthored collaborative work, grants, research awards, directing graduate student research, sponsoring postdoctoral scholars, and teaching lecture courses (see the Appendix, Figure 9). In the social sciences and humanities many of the emphases are similar, but much more weight is given to books and chapters in edited volumes, and less for grants, research awards, and sponsoring postdoctoral scholars. In the health and education professions, grants and research awards have a strong emphasis (in addition to the other areas).

A close examination of review criteria by faculty rank shows some significant distinctions between the lower- and higher-ranked faculty in terms of desired emphases for merit and promotion. Figures 10a and 10b indicate the percentage of faculty at each rank who feel that particular review criteria *should be more important* for merit and promotion than they currently are. Numbers that are highlighted in shades of green or blue indicate significant differences (greens indicate higher-than-expected percentages and blues indicate lower-than-expected percentages in the analyses). Large proportions of Assistant and Associate Professors think that activities that are not traditionally strongly associated with merit and promotion, such as service, mentoring, promoting diversity, improving or creating new courses, teaching seminar courses, and supervising undergraduate independent study, should receive more weight than they currently do. And conversely, fewer than expected Full Professors above scale feel that these same activities should be more important. For example, a little more than one-third of professors at most ranks feel that departmental service should be more important, compared to just 8% of Full Professors above scale. Note that these items do not ask respondents to indicate that a particular criterion should be more important compared to another one, or that

a particular criterion should be less important, only whether a criterion should be more important in review than it currently is.

Figure 10a. Percentage Indicating that the Review Criterion Should Be More Important,\* by Rank

	Assistant Professor		Associate Professor		Full Professor, Below Step VI		Full Professor, Step VI-IX		Full Professor, Above Scale	
	%	N	%	N	%	N	%	N	%	N
Books	15%	81	20%	101	24%	72	26%	93	24%	76
Journal articles (peer reviewed)	6%	101	4%	113	5%	103	5%	111	2%	93
Chapters in edited volumes	32%	95	30%	109	28%	96	19%	107	15%	89
Coauthored collaborative work	39%	94	35%	100	29%	93	20%	108	10%	90
Professional work (such as architectural work or clinical work)	40%	48	37%	54	40%	45	29%	51	31%	42
Artistic performance (such as concerts, shows)	35%	37	24%	33	14%	22	22%	27	21%	24
Grants	26%	94	26%	97	22%	94	17%	109	11%	88
Research awards	19%	84	21%	95	19%	89	15%	98	13%	86
Patents	16%	44	24%	45	14%	43	23%	52	26%	46
Presentations	26%	97	32%	104	22%	98	18%	104	14%	87
Number of citations	21%	91	26%	94	19%	97	17%	103	11%	88
Teaching lecture courses	30%	92	37%	107	21%	97	27%	112	16%	88
Teaching seminar courses	41%	90	36%	108	28%	100	30%	109	16%	88
Teaching large undergraduate service courses	38%	81	38%	97	27%	85	31%	93	20%	76

Note: Shaded cells of green and blue indicate significant differences based on chi-square, comparing the responses of the subgroup to all other respondents; greens indicate a higher-than-expected percentage and blues a lower-than-expected percentage. Dark green/blue = chi-square less than .001; medium green/blue = less than .01; light green/blue = less than .05. Light gray shading indicates a valid chi-square value could not be calculated because of one or more low-count cells (N is under 5).  
Source: UC Berkeley Faculty Climate Survey, 2009.

\*More important = "Importance criterion should have in reviews" exceeds "Importance criterion currently has in reviews."  
Source: UC Berkeley Faculty Climate Survey, 2009.



Figure 10b. Percentage Indicating that the Review Criterion Should Be More Important,\* by Rank (Continued)

	Assistant Professor		Associate Professor		Full Professor, Below Step VI		Full Professor, Step VI-IX		Full Professor, Above Scale	
	%	N	%	N	%	N	%	N	%	N
Efforts to improve or create new courses	57%	93	50%	108	33%	100	36%	111	19%	88
Mentoring undergraduate students	63%	91	65%	106	47%	96	51%	102	29%	82
Directing graduate student research	48%	92	39%	110	35%	99	33%	112	20%	87
Sponsoring postdoctoral scholars	45%	73	42%	93	36%	87	32%	101	25%	77
Supervising undergraduate independent study	57%	87	56%	102	40%	95	46%	101	23%	83
Teaching awards	35%	69	37%	75	21%	77	23%	79	24%	76
Writing textbooks	37%	57	34%	65	37%	65	29%	73	23%	73
Serving as dean, chair, or administrator	21%	24	48%	60	46%	68	34%	87	16%	79
Departmental service	33%	91	42%	107	40%	98	38%	110	8%	85
University service	33%	73	45%	102	36%	99	34%	110	11%	88
Professional service	47%	88	44%	102	41%	93	33%	107	17%	87
Promoting diversity	49%	78	52%	101	38%	89	43%	103	17%	82
Mentoring colleagues	60%	55	65%	91	57%	93	47%	100	28%	83
Community-based service	66%	71	60%	84	50%	84	44%	95	29%	76

Note: Shaded cells of green and blue indicate significant differences based on chi-square, comparing the responses of the subgroup to all other respondents; greens indicate a higher-than-expected percentage and blues a lower-than-expected percentage. Dark green/blue = chi-square less than .001; medium green/blue = less than .01; light green/blue = less than .05. Light gray shading indicates a valid chi-square value could not be calculated because of one or more low-count cells (N is under 5).  
Source: UC Berkeley Faculty Climate Survey, 2009.

\*More important = "Importance criterion should have in reviews" exceeds "Importance criterion currently has in reviews."  
Source: UC Berkeley Faculty Climate Survey, 2009.

Women are also more likely than men to think that nontraditional review criteria should play a larger role in evaluations for merit and promotion (see the Appendix, Figure 10). Specifically, more than half of the women respondents (compared to a much lower percentage of men) would put more emphasis on efforts to improve or create new courses, mentoring undergraduate students, supervising undergraduate independent study, promoting diversity, mentoring colleagues, and performing community-based service.

URM faculty are also more likely than White, Asian, and non-U.S. citizen faculty to feel that nontraditional activities should be more important than they currently are (see the Appendix, Figure 11). The *UC Academic Personnel Manual* (APM) states that "teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's qualifications,"<sup>12</sup> yet a discrepancy remains. The majority of URM respondents (between 60% and 74%,

<sup>12</sup> APM 210-1-d, <http://www.ucop.edu/acadadv/acadpers/apm/section2.pdf>

depending on the criterion) feel that efforts to create or improve courses; participate in departmental, university, or community-based service; promote diversity; and mentor colleagues should be more important than they currently are. For some criteria, URM faculty are twice as likely as White faculty to feel this way. For example, 31% of White faculty feel that departmental service should be more important, compared to 61% of URM faculty. Although the senior-ranked faculty are predominantly White, and fewer of them want departmental service to be more important, it is also possible that URM faculty feel called on more frequently than other groups to participate in these activities, or simply want merit and promotion to reflect a wider array of academic activities.

### Evaluation of Overall Cases for Merit Step Increases

In addition to asking respondents to rate how important they feel various specific review criteria in the areas of research, teaching and mentoring, and service are and should be, the survey also presented three merit review case examples. Each presented a short scenario and asked the respondent to rate whether the case deserved a step increase from none to more than two steps, in increments of half a step (for example, a half-step increase, or a one-step increase, or a one-and-a-half-step increase). An initial scenario, "Professor A," with typical advancement and progress and a balanced record, was provided as a benchmark for the other three cases (*Professor A has had normal, on-time advancement throughout his/her career. Professor A is currently at Professor, Step III. During the current three-year review period, Professor A has had a balanced record – Professor A maintained his/her publication rate, received similar very good ratings in teaching, and performed reasonable service to the department, campus, and his/her profession. Professor A was awarded a one-step merit increase to Professor, Step IV).*

### Faculty Comments on Promotion Criteria

*"Way too much emphasis on research, in particular grantsmanship, relative to contributions to education and mentoring. My success as a teacher and mentor has come at a significant cost in terms of professional advancement at Berkeley."*

—Female Associate Professor

*"The fact that faculty members get promoted if they are good on research, irrespective of their collegiality. This has a profoundly negative effect on the atmosphere of working at the unit."*

—Male Full Professor below Step VI

*"Failure of promotions process to respond to changes in how research is done and disseminated (peer-reviewed research reports and journals, not book; collaborative, less individual scholarship; inter- or multi-disciplinary, not the traditional disciplines)."*

—Male Associate Professor

### Scenario 1: Professor B

*Professor B has been accelerated in rank, step, and salary (decoupled). Professor B is currently at Professor, Step III. During the current three-year review period, Professor B published 12 peer-review articles, including a significant piece that was acknowledged as the best paper of the year. Professor B had a reduced teaching load because Professor B taught a large required course twice during the review period. Professor B's teaching ratings continue to be well below the departmental average, and Professor B continues to provide almost no service to the department and University.*

In aggregate, faculty respondents are split in their assessment of Professor B. About one-quarter (26%) think the professor should have less than a one-step increase, about half (52%) think the professor should receive a one-step increase, and the remaining quarter (23%) think more than a one-step increase is warranted. Fewer Full Professors above scale (16%) think the increase should be less than one step, but otherwise there are no notable differences in opinion between academic ranks, discipline, or race and ethnicity. The one major difference is with regard to gender. Just as women are more likely than men to think that nontraditional review criteria should be more important for merit and promotion, when evaluating Professor B more of them feel that the professor should receive less than one step (33% compared to 21% of men). And similarly, only 16% of women feel that Professor B should receive more than one step, compared to 26% of men. Women may put more emphasis on Professor B's lackluster teaching ratings and significant lack of service in their assessment, while men may put more emphasis on traditional criteria—Professor B's research success during the review period. Still, half of both women and men suggested that Professor B should receive one step.

### Scenario 2: Professor C

*Professor C has advanced at a normal rate. Professor C is currently at Professor, Step III. His/her last merit increase was five years ago. During the review period, Professor C has served as a very successful chair of the department. Professor C has hired six new faculty, had a major influence on restructuring the undergraduate curriculum, and significantly improved the diversity of graduate students studying in the department. His/her record shows that Professor C has published three articles. Professor C has taught two courses as an overload and received very high ratings from the students.*

In the case of Professor C, compared to Professor B, there is more congruity in the assessment of merit, with just 5% of respondents thinking that the professor should have less than a one-step increase, under half advocating for one step (40%), and a little over half stating that the professor should receive more than one step (54%). Somewhat more Assistant and Associate Professors, compared to Full Professors above scale, think that Professor C deserves more than a one-step increase (64% of Assistant Professors and 62% of Associate Professors, compared to 46% of Full Professors above scale). But the major distinction in response for this scenario is between academic fields. Specifically, the majority of faculty in the nonhealth professions (such as law and business) feel that Professor C should receive a one-step increase (55% recommended one step, 7% less than one step, and 38% more than one step). In contrast, the majority of faculty in the humanities feel that Professor C should receive more than one step (72% indicated more than one step, 27% one step, and just 1% less than one step). Clearly there are different values associated with Professor C's major accomplishments, which have more to do with service and teaching and less with research.

### Scenario 3: Professor D

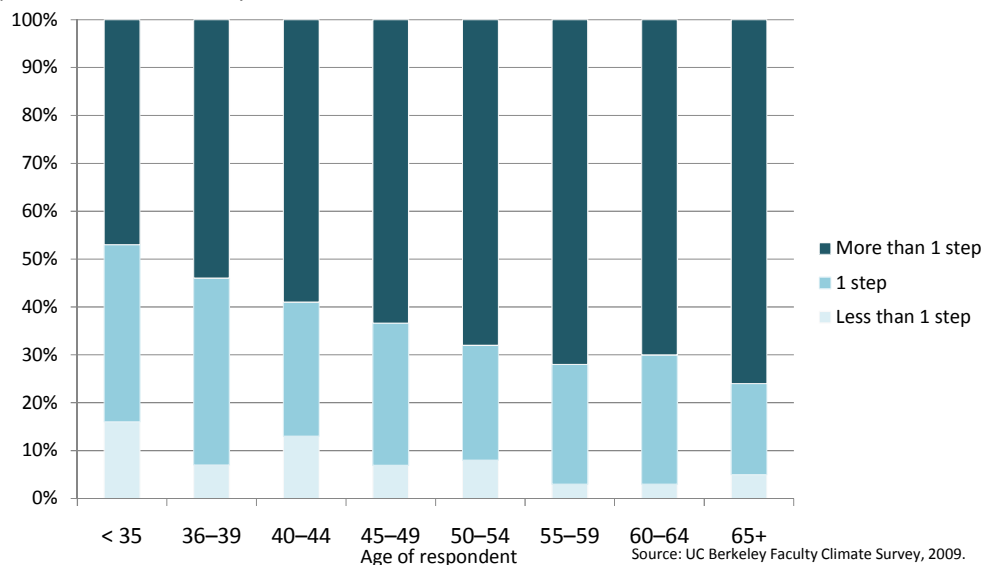
*Professor D has advanced slowly. Professor D is currently at Professor, Step III. Professor D has just published a major body of work (e.g., a book, a series of peer-reviewed articles, etc.) that has already received a major award. Over the past 12 years, Professor D has only received a one-step merit increase because Professor D had very few articles and Professor D did not share any drafts of the work in progress. Professor D's record shows that Professor D is an outstanding teacher and very involved in departmental and University service.*

Faculty respondents were even more consistent in their evaluation of Professor D than for the other two professors. Few feel that Professor D should receive less than one step (8%), only about one-quarter feel the increase should be one step (23%), and the remaining two-thirds feel that Professor D deserves more than a one-step increase (65%). There are some differences in assessment by academic field. Specifically, fewer faculty in the biological sciences and more in the humanities feel the increase should be more than one step. But the most remarkable differences in the assessment of Professor D's merit review are by the age of the faculty respondent. Figure 11 shows that many more of the older faculty compared to the younger faculty think that Professor D should receive more than a one-step increase for the body of work presented at the time of review. In fact, with each five-year age cohort there is an increase in the proportion of respondents who feel that more than one step is warranted. Among faculty respondents under the age of 35, fewer than half suggest more than one step and 16% suggest less than one step. In contrast, among faculty ages 65 and older, 76% suggest

more than one step and only 5% suggest less than one step. Older faculty seem to be more supportive of Professor D's lack of productivity in the past and feel that he or she deserves a significant increase with the presentation of an exceptional body of work. Perhaps this reflects a more nuanced understanding of variability in productivity over the course of a career.

Figure 11. *How would you review the merit case of Professor D?*

*Professor D has advanced slowly. Professor D is currently at Professor, Step III. Professor D has just published a major body of work (e.g., a book, a series of peer-reviewed articles, etc.) that has already received a major award. Over the past 12 years, Professor D has only received a one-step merit increase because Professor D had very few articles and Professor D did not share any drafts of the work in progress. Professor D's record shows that Professor D is an outstanding teacher and very involved in departmental and university service.*



## Conclusion: Review Criteria

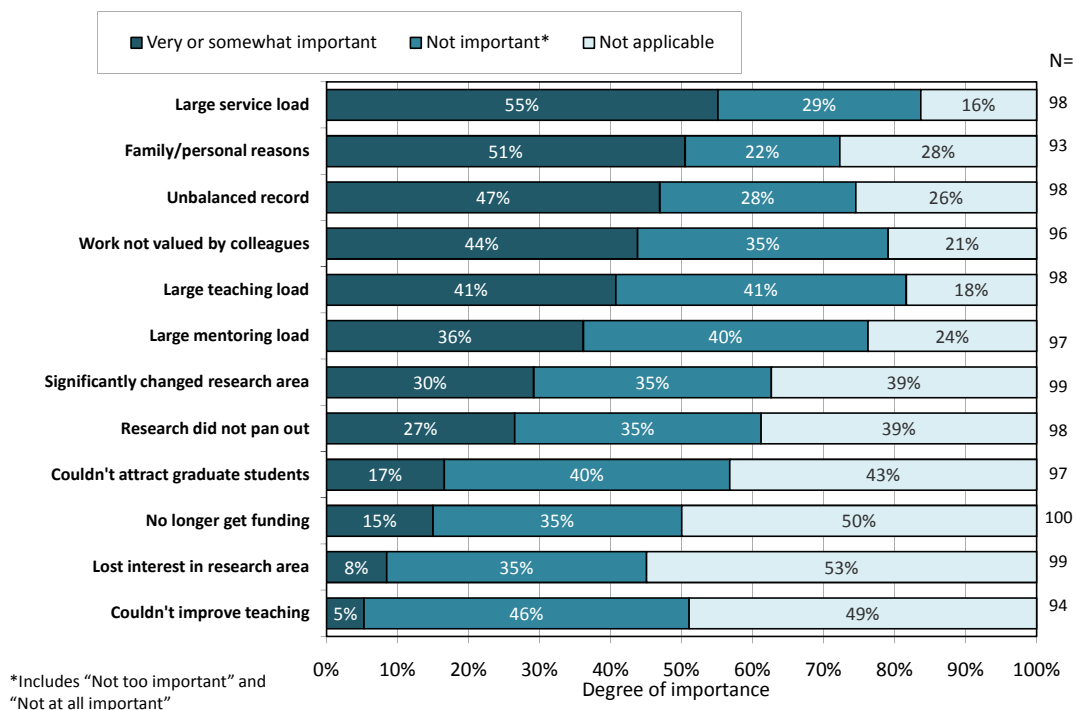
A substantial difference of opinion exists regarding merit and promotion criteria between the most senior and junior faculty, between men and women, and among various ethnic groups. The most senior faculty may feel that these other activities (such as service, mentoring, promoting diversity, improving or creating new courses, teaching seminar courses, and supervising undergraduate independent study) should be undertaken as a matter of course, but should not be reflected strongly in merit or promotion. However, as more senior faculty retire, and faculty renewal continues to focus on hiring a more diverse workforce in terms of gender, race/ethnicity, and age, acknowledgment of a broad range of activities that have not been as highly connected to merit and promotion may naturally occur. A significant proportion of the younger generation clearly feels that their involvement in these activities should be

evaluated and rewarded as appropriate. The assessment of merit review cases generally mirrors these findings, with the exception that more senior faculty have a long span of experience that, in the case of Professor D, causes many of them to be more sympathetic to a lag in productivity.

## SLOW OR DELAYED CAREER PROGRESSION

Of the ladder-rank faculty responding to the survey, approximately 20% regard their progress toward merit or promotion relative to their peers as slow or delayed (this is a single-item self-assessment). When asked to rate how important a series of items is in accounting for their slow or delayed advancement, with the choices being “very important,” “somewhat important,” “not too important,” “not at all important,” or “not applicable,” respondents overall rate “large service load,” “family/personal reasons,” “unbalanced record of research, teaching, and service,” and “work not valued by colleagues” most commonly as very or somewhat important contributors (see Figure 12).

Figure 12: How important are each of the following factors in accounting for your slow/delayed advancement?



An examination of the results by field, rank, and gender illuminates differences in the most significant factors (there are no marked differences among ethnic groups or based on citizenship). By field (see the Appendix, Figure 12),

- Faculty in the biological sciences are more likely than those in other fields to indicate that they could no longer get funding to pursue their specific research interests (36% compared to 22% in the PTEM fields and about 10% in the other major fields)
- Faculty in the PTEM fields are more likely than others to say that they could not attract graduate students (33% compared to 7% to 15% in the other fields), but are much less likely than others to indicate that they have a large service load as a reason for their delayed progress (only 28% compared to 78% in the humanities and 43% to 60% in the other fields)
- Many more faculty in the humanities responded that their large teaching load has contributed to their delayed progress (65% compared to 20% to 40% for the other fields).

Associate Professors are more likely than faculty at other ranks to cite the importance of three particular factors as important contributors: their large service load, their large teaching load, and family/personal reasons (see the Appendix, Figure 13). The large service load is cited as important more than any other factor (cited by 71%, followed by the large teaching load [62%] and family/personal reasons [63%]). These findings are likely related to the lack of satisfaction with their current rank, with some Associate Professors feeling that these responsibilities overburden them and impede their progress toward Full Professor.

In terms of gender, the only factor with significant differences is the role of family/personal reasons in slow or delayed advancement: 39% of men compared to 64% of women cited this as important in accounting for their slow or delayed advancement (see the Appendix, Figure 14). The heavy professional, housework, and caregiving load that many women carry (particularly those with children) takes a toll on progress for some (our 2002–2003 Work and Family Survey findings indicated that women faculty aged 30 to 50 with children spent an average of more than 100 hours per week in the combined activities, compared to about 90 hours per week for men faculty with children and 80 hours per week for both men and women faculty without children).<sup>13</sup> One woman Associate Professor illustrated this experience by saying, "*Family-*

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<sup>13</sup> <http://ucfamilyedge.berkeley.edu/ucfamilyedge.pdf>, page 7.

*friendly policies helped me get tenure and have a family at the same time. Both work and family give me a great deal of satisfaction, although my promotion from Associate Professor has been slowed due to too few hours in the day.”*

### **Conclusion: Slow or Delayed Career Progression**

Most of the faculty feel that they are progressing at about the same rate as their peers, but for the 20% who do not it is important to consider the implications for other areas. In particular, most of the Associate Professors who rate themselves as progressing more slowly cite their large service load as holding them back. In this same group, more than half did not know that they could apply for a one-time extra merit increase for excellent teaching, service, or diversity-related work. Further, this group, more than other ranks, feels that departmental, university, and community-based service should be more important than it currently is. Other factors are obviously at play in the slow progress for many in this group (namely teaching and family/personal reasons), but the value of service in the merit and promotion process among the ranks of Associate Professors does not appear to align with the needs and desires of many in those ranks.



## CAREER SUPPORT

This section focuses on the broad area of career support, including four main topics: multidisciplinary work, mentoring and support, views on retention activities and processes, and department/unit quality and climate. These topics touch on a wide variety of issues that support faculty in being as productive and successful as possible. They also affect feelings of satisfaction and well-being.

### MULTIDISCIPLINARY WORK

Many of our research centers and units are focused on collaborative work between faculty of different disciplines, and multidisciplinary work at Berkeley is conducted to address some of the most pressing and complex questions and problems in science and society. In fact, most UC Berkeley faculty respondents are actively engaged in some amount of multidisciplinary

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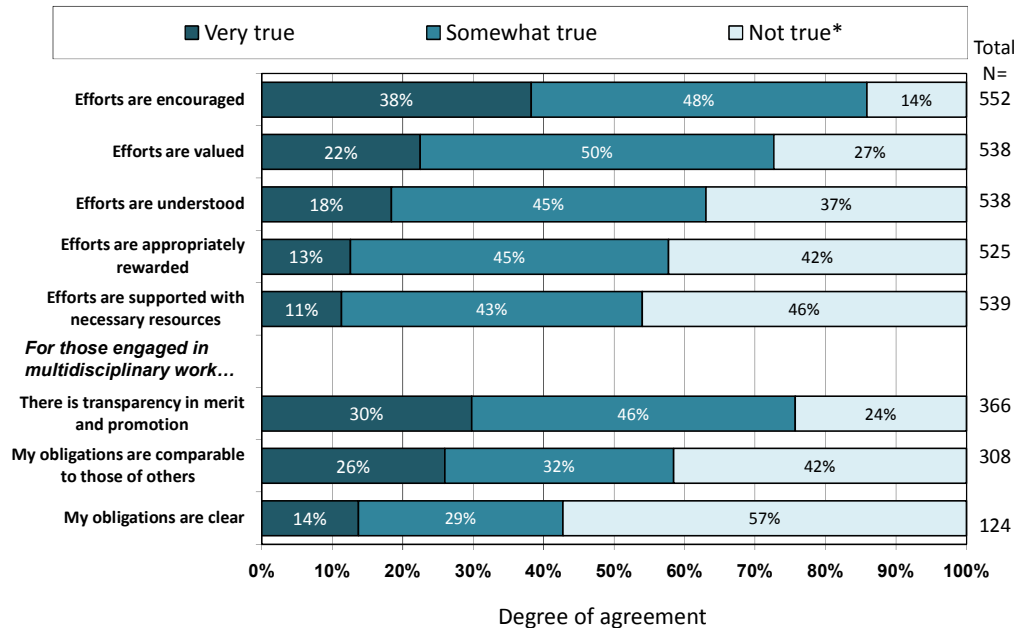
*"Regarding faculty/colleagues—nearly everyone is open to doing new research and trying something new. Nearly all are interested in collaborating. Having come from another university, I find this unique to Berkeley and hope that it will never change."*

—Female Associate Professor

● ● ●

work (66%), and an additional 22% are interested in it but not actively engaged. As is shown in Figure 13, in aggregate most faculty agree ("very true" or "somewhat true") that multidisciplinary work is encouraged, valued, and understood. Fewer, but still the majority, agree that multidisciplinary efforts are rewarded appropriately and are supported with necessary resources (but with only small percentages indicating "very true"). Of those faculty who are actively engaged in multidisciplinary work, most feel that there is transparency in the merit and promotion reviews of their work. However, there is less agreement that multidisciplinary work is clearly delineated—nearly half do

not feel that their obligations are comparable to those of their colleagues who work in a single discipline (implying that they feel a greater burden), and more than half do not feel that their obligations to two or more units are clearly spelled out.

Figure 13. *Regarding Multidisciplinary Work at UC Berkeley...*

\*Includes "Not too true" and "Not at all true."

Source: UC Berkeley Faculty Climate Survey, 2009.

There are also some distinctions among these factors when they are examined by broad academic fields, academic rank, gender, and race and ethnicity (see the Appendix, Figures 15-16). For example, more faculty in PTEM fields, compared to the other disciplines, feel that multidisciplinary work is encouraged, appropriately rewarded, and carries the same obligations as those for colleagues in a single discipline. In addition, fewer faculty in the health/education professions feel that multidisciplinary work is encouraged, appropriately rewarded, understood, valued, or clearly spelled out. Compared to faculty in the PTEM fields and biological sciences, both humanities and health/education professions faculty engaged in multidisciplinary work seem to feel that their obligations are greater than those of their colleagues working in a single discipline. By faculty rank, Full Professors above scale have a more positive overall view of multidisciplinary work than other ranks. Men also have a somewhat more favorable view than women in many of the areas.

When examined by race and ethnicity, there are major distinctions in respondents' feelings about multidisciplinary work (see Figure 14), with White faculty in particular much more positive than URM faculty in nearly every area. For example, while 88% of White faculty feel that multidisciplinary efforts are encouraged, only 72% of URM faculty agree. Only 37% of URM faculty agree that the work is supported with necessary resources (compared to 57% of

White faculty). Only 38% of URM faculty feel that multidisciplinary research efforts are appropriately rewarded (compared to 62% of White faculty), and only 25% agree that the obligations to two or more units are clearly spelled out (compared to 48% of White faculty).

Figure 14. *Regarding Multidisciplinary Work at UC Berkeley . . .*

Percentage Indicating That the Statement Is TRUE												
	White		Asian		Under-represented Minority		Other		Non-U.S.		Missing*	
	%	N	%	N	%	N	%	N	%	N	%	N
At UC Berkeley, multidisciplinary research efforts are encouraged.	88%	405	94%	47	72%	43	63%	8	71%	28	86%	21
At UC Berkeley, multidisciplinary research efforts are supported with necessary resources.	57%	396	63%	46	37%	43	13%	8	54%	26	35%	20
At UC Berkeley, multidisciplinary research efforts are appropriately rewarded.	62%	385	53%	45	38%	42	13%	8	56%	25	45%	20
At UC Berkeley, multidisciplinary research efforts are understood.	65%	396	72%	46	45%	42	25%	8	73%	26	50%	20
At UC Berkeley, multidisciplinary research efforts are valued.	74%	396	85%	46	67%	42	25%	8	65%	26	55%	20
At UC Berkeley, there is transparency in merit and promotion reviews of my work.	80%	266	77%	35	59%	29	—	7	75%	16	46%	13
At UC Berkeley, my obligations to two or more units are clearly spelled out.	48%	88	45%	11	25%	12	—	5	—	6	—	2
At UC Berkeley, my obligations are comparable to those of colleagues who do work in a single discipline.	61%	233	50%	26	58%	26	—	7	40%	10	—	6

Note: Shaded cells of green and blue indicate significant differences based on chi-square, comparing the responses of the subgroup to all other respondents; greens indicate a higher-than-expected percentage and blues a lower-than-expected percentage. Dark green/blue = chi-square less than .001; medium green/blue = less than .01; light green/blue = less than .05. Light gray shading indicates that a valid chi-square value could not be calculated because of one or more low-count cells (N is under 5). “—” indicates the percentage is suppressed because of a low subpopulation (N is under 8).  
Source: UC Berkeley Faculty Climate Survey, 2009.

\*Missing includes those who declined to state ethnicity/citizenship.  
Source: UC Berkeley Faculty Climate Survey, 2009.

### Conclusion: Multidisciplinary Work

Overall, most faculty appear to feel positively about multidisciplinary work at Berkeley. However, more faculty would like support and acknowledgment through resources and rewards. And more could be done to ensure that the expectations and requirements for multidisciplinary work are delineated so that faculty who engage in it understand clearly what is expected and do not feel penalized with additional obligations for their efforts. Finally, to make conducting multidisciplinary work an attractive, positive option for faculty, it is important to be sure that review of cases for merit and promotion appropriately takes into account the role of this type of work.

## MENTORING AND SUPPORT

Mentoring and support can be both formal and informal, but they share the common theme of providing or receiving help or assistance in any number of career areas to enhance career success. At Berkeley there is currently no centralized formal mentoring program, but some departments or units carry out specific mentoring activities, and many people seek out support on their own (see for example, <http://vpaafw.chance.berkeley.edu/mentoring/>). Mentoring and support cover a range of topical areas, including:

- *Research* (help to get grants, advice on research, and offers to collaborate in research)
- *Career advancement* (help with establishing professional contacts, help with publishing, mentoring for leadership positions, and coaching on the review process)
- *Departmental issues* (help navigating departmental politics and invitations to lunch/coffee)
- *Teaching* (help with issues that arise involving teaching)

Faculty respondents were asked how much mentoring or support they currently receive in each area and how much they would like to receive. For every type of mentoring or support, between one-third and two-thirds of the overall faculty indicated that they receive *less* than they would like (see Figure 15). For example, 65% are receiving less help to get grants than they would like (only 45% are receiving any at all), 59% are receiving less mentoring for leadership positions (only 31% are receiving any at all), and 53% would like more mentoring for teaching (only 37% are receiving any at all).

Figure 15. Mentoring and Support

Type of Mentoring/Support	Receiving Less Than Desired*	Receiving Any at All
Help to get grants	65%	44%
Mentoring for leadership positions	59%	31%
Mentoring for teaching	53%	37%
Help with publishing	48%	27%
Coaching on the review process	46%	54%
Help with establishing professional contacts	45%	37%
Advice on research	44%	55%
Offers to collaborate in research	43%	69%
Help navigating departmental politics	40%	51%
Invitations to lunch/coffee	36%	85%

N = 443–470

N = 481–504

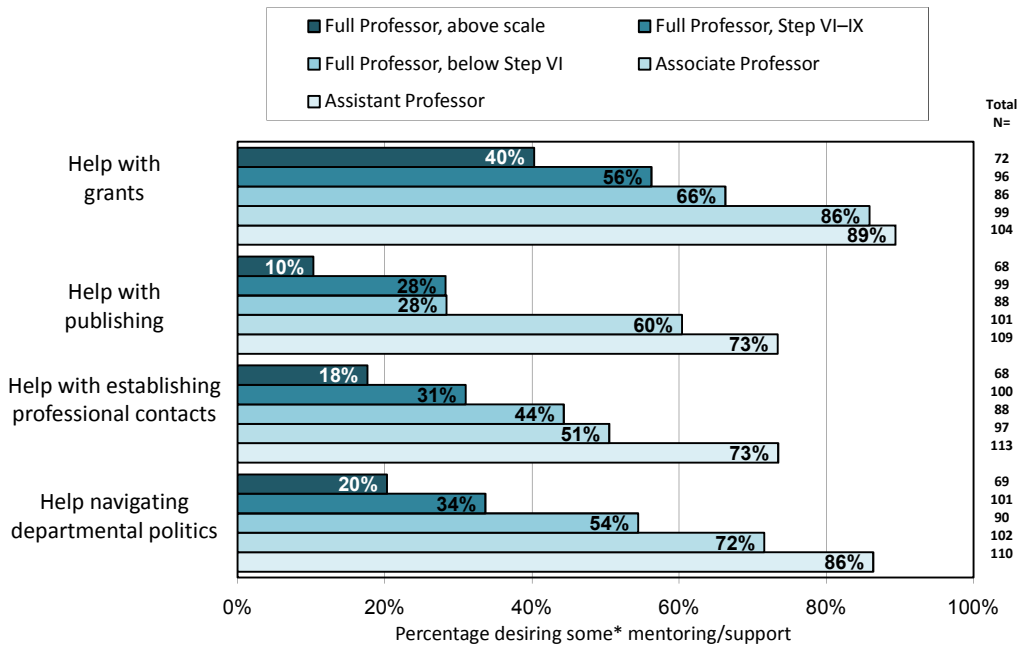
\*Less than desired = "Desired amount" exceeds "Amount receiving." "Not applicable" and missing excluded.

Source: UC Berkeley Faculty Climate Survey, 2009.

### Differences in Mentoring and Support

By rank, Assistant and Associate Professors are the most likely to want mentoring or support, with about two-thirds or more of respondents expressing a desire for the various types. For example, 89% of Assistant Professors and 86% of Associate Professors would like some amount of help (either "a great deal," "much," or "some") with grants, and 86% of Assistant Professors and 77% of Associate Professors desire some coaching on the review process (see Figures 16a and 16b). In all areas, the highest percentages of faculty expressing a desire for mentoring were among these two ranks. And although the proportion is much smaller, many Full Professors (at all steps) would like mentoring or support, particularly with grants, navigating department politics, and the review process. These results highlight the fact that individuals have different strengths and aptitudes for various aspects of their job and may provide mentoring in one area while desiring mentoring in another.

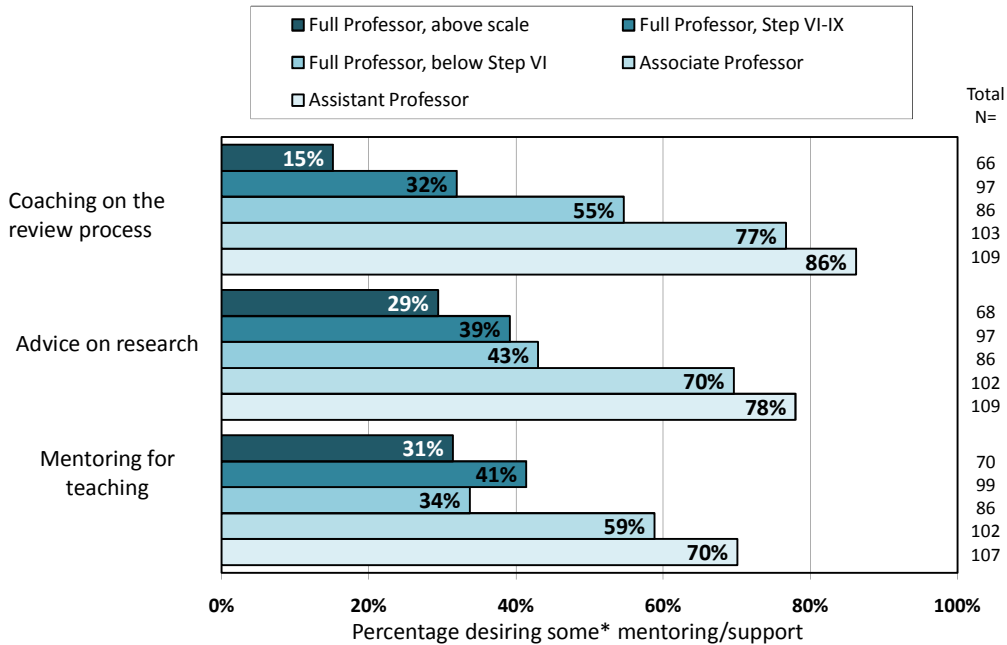
Figure 16a. Percentage Desiring Some\* Mentoring/Support, by Rank/Step, Selected Items



\*Some = "A great deal," "Much," and "Some," vs. "A little" and "None." "Not applicable" excluded.

Source: UC Berkeley Faculty Climate Survey, 2009.

Figure 16b. Percentage Desiring Some\* Mentoring/Support by Rank/Step, Selected Items



\*Some = "A great deal," "Much," and "Some," vs. "A little" and "None." "Not applicable" excluded.

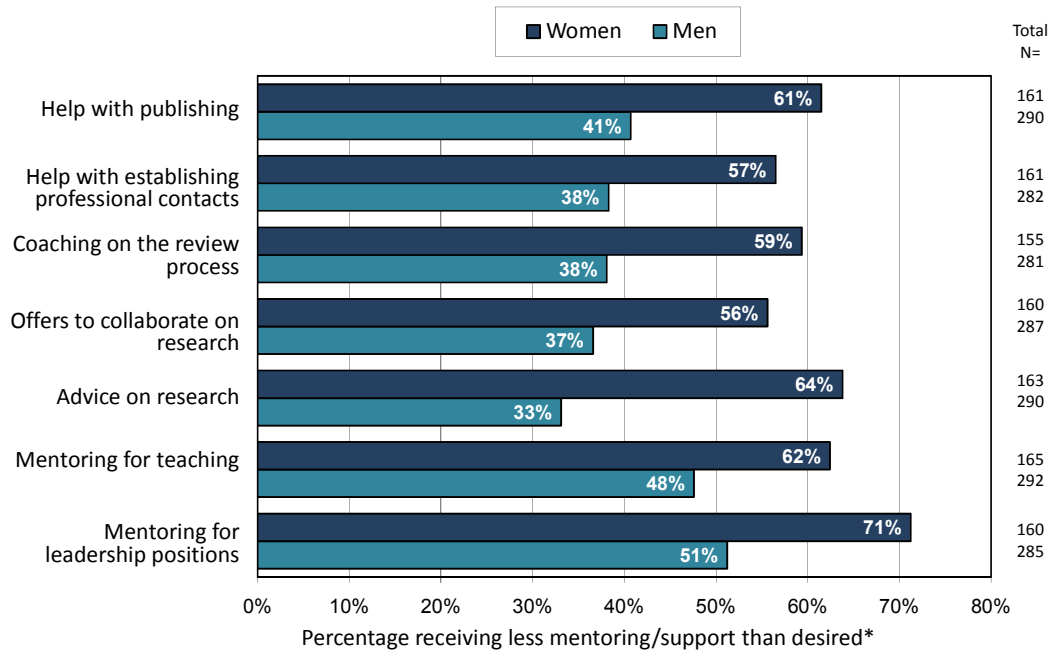
Source: UC Berkeley Faculty Climate Survey, 2009.

By position, faculty who are not currently administrators say they receive little or no mentoring for leadership positions. Only 10% receive some (consisting of those who answered “a great deal,” “much,” or “some”), compared to 40% of chairs and vice chairs and 50% of Assistant Deans (see the Appendix, Figure 17). Nearly 60% of all faculty receive less mentoring for leadership positions than they would like. Compared to White faculty and noncitizens, Asian faculty in particular desire more mentoring for leadership positions (82% would like a great deal, much, or some, compared to 50% of noncitizens, 51% of White faculty, and 55% of URM faculty).

In several areas, faculty from URM groups receive much less mentoring and support than faculty from other ethnic/citizen groups. For example, 71% of URM faculty report that they do not receive any help with getting grants, compared to only 56% of White faculty. Nearly all faculty indicated that help with getting grants is an applicable or relevant area of mentoring or support for them. Similarly, 51% of URM faculty reported that they do not receive any offers to collaborate on research, compared to just 29% of White faculty (see the Appendix, Figure 18).

There are also differences in mentoring and support by gender. Specifically, women respondents indicate a greater disjuncture between the amount of mentoring or support they are receiving and how much they would like (though part of this difference is likely due to rank, with more women faculty in the lower ranks, where faculty desire more mentoring). Figure 17 shows some clear differences on select items.

Figure 17. Percentage Receiving Less\* Mentoring/Support Than Desired by Gender



\* Less than desired = "Desired amount" exceeds "Amount receiving." Not applicable and missing excluded.

Source: UC Berkeley Faculty Climate Survey, 2009.

## Conclusion: Mentoring and Support

Despite the variability between the amount of mentoring and support desired and received in the different areas, and differences between academic ranks, ethnicity, and gender, the overall findings from this section indicate that a significant proportion of Berkeley faculty would benefit from and appreciate receiving more of it. The majority of faculty feel that mentoring colleagues should be more important than it currently is in their reviews for merit or promotion. Given limited time and resources, it is imaginable that if this were the case, more faculty would both provide and receive mentoring, depending on their strengths and interests.

## RETENTION

Retention of faculty is a significant issue for many universities around the country, which often compete for the same faculty in their peer institutions. At UC Berkeley there are an average of 60 retention cases per year (with a total of nearly 600 resolved cases over the last decade and



wide variability in the number of cases per year, from a low of 11 to a high of 97).<sup>14</sup> On average, UC Berkeley retains 75% of the faculty who present retention cases. Among faculty survey respondents, almost half report receiving at least one written job offer from another university since coming to Berkeley (42%); more than half of those have received more than one offer. About two-thirds of faculty respondents strongly agree or agree that even if they were offered a comparable position with slightly higher pay and benefits at another institution, they would stay at UC Berkeley (but only 59% of women responded in this way, compared to 72% of men, and only 49% of URM faculty compared to 71% of White faculty).

A series of survey items inquired about how faculty feel about retention issues (see Figure 18). Nearly all faculty (but more faculty in the humanities and social sciences and fewer in the PTEM fields) think that it is necessary to match outside offers of higher salary to retain excellent faculty, but two-thirds feel that only the most outstanding faculty should receive retention offers (again, with fewer in the humanities and social sciences agreeing). There are no differences in these views between those who have and haven't received outside offers since coming to Berkeley (see the Appendix, Figure 19).

Figure 18: Information and Views on Retention

Job offers: 58% none 19% one 23% more than one

Views on Retention Offers	Percentage Who Agree*
It is necessary to match outside offers of higher salary to retain excellent faculty.	84%
Only the most outstanding faculty should receive retention offers to match offers of higher salary from other institutions.	68%
I think it is unfair to have two different salary scales: one based on merit and a second based on the market.	60%
I have considered outside offers simply to raise my salary comparable to what others have received due to retention actions.	35%

\*Includes "strongly agree" and "agree" vs. "disagree" and "strongly disagree."

Source: UC Berkeley Faculty Climate Survey, 2009.

<sup>14</sup> Sources: UC Berkeley retention file, 2000–2010; UC Berkeley faculty personnel records, 2000–2010.

Faculty who have not received a written job offer from another university, however, are noticeably more likely to say they think it is unfair to have two different salary scales, one based on merit and a second based on the market. The percentages of those agreeing that this practice is unfair were higher among women, Associate Professors, and faculty in the biological sciences.

More than one-third of the respondents report that they have considered outside offers simply to raise their salary comparable to what others received as a result of retention actions. Considering an offer and actually receiving one are different, however. Forty percent of those who have not had a formal outside offer while at Berkeley have considered pursuing such offers in order to raise their salary. Also, more women respondents than men have considered them (43% compared to 31%). Further, younger faculty are much more likely to say that they have considered an outside offer in order to raise their salary: Nearly or about half of faculty under the age of 45 have done so, compared to just 9% of faculty ages 65 or older and 25% of faculty ages 60 to 64. (As a general practice, Berkeley did not respond to outside offers for retention until the early 1990s.)

### Regarding a Theoretical Large Outside Offer, Please Explain Why You Do Not Think Berkeley Should Respond to This Outside Offer

*"There are so many talented researchers that really want to come to Berkeley. Currently we reward disloyalty, and it has really ruined our department. People do not talk to one another anymore after the salaries became public knowledge. We have faculty that are actively gaming the system and getting offers only to get counter offers. It is the greatest single thing that has disappointed me about UC Berkeley."*

—Male Associate Professor

*"Equity concerns are raised when one faculty member is more highly paid for the same work. Morale can suffer."*

—Male Full Professor, Step VI–IX

*"There are plenty of excellent reasons to stay at Berkeley both academically and personally. If someone wants to go, there will be someone equally excellent ready to take their place."*

—Female Full Professor, below Step VI

*"Berkeley should encourage and reward excellent scholarship, and provide commensurate salaries in the absence of external offers. It must breed institutional loyalty first. By responding to offers, Berkeley simply encourages faculty to seek them, as no alternative route for recognition is available."*

—Male Full Professor, above scale

*"There is a significant salary difference between Berkeley and other institutions, and some faculty are doing something about that by utilizing market forces to gain salary increases. This is an implicit "loyalty penalty" on faculty who don't actively seek employment elsewhere. And it's an implicit insult to the many hard-working, deserving faculty on campus."*

—Male Full Professor, above scale

The survey also asked respondents to select the top five reasons they would consider an outside offer (from a list of 14 items). In aggregate, the five reasons selected by the highest percentages of faculty are:

- Total compensation
- Annual salary
- Department/university reputation
- Geographical location
- Quality of graduate students (tied for fifth)
- Facilities for research (tied for fifth)
- Collegial interaction (tied for fifth)

There are some noticeable differences in the responses when examined by discipline, rank, gender, and race/ethnicity/citizenship. In Figure 19, the “Total” column shows the total percentage of faculty respondents who rated each item as one of the top five reasons that they would consider an outside offer, and the remaining columns give the percentages by disciplinary field. (Shades of green indicate a higher percentage compared to the total, and shades of blue indicate a lower percentage compared to the total; light gray indicates that an analysis could not be conducted because of low cell counts).

Figure 19. Percentage Indicating That the Factor Is Among the Top Five Reasons They Would Consider an Outside Offer, by Disciplinary Field

Rank	Factor	Total	PTEM*	Bio./ NR	Profess. †	Soc. Sci.	Human.	H/Ed. ‡
1	Total compensation	59%	56%	67%	65%	60%	56%	61%
2	Annual salary	53%	49%	47%	53%	59%	60%	52%
3	Department/university reputation	50%	53%	36%	64%	46%	57%	57%
4	Geographical location	45%	38%	44%	64%	44%	52%	43%
5	Quality of graduate students	39%	50%	33%	35%	37%	37%	34%
6	Facilities for research	39%	44%	59%	16%	34%	28%	43%
7	Collegial interaction	39%	29%	39%	55%	51%	34%	39%
8	Spouse/partner employment	34%	27%	35%	35%	37%	40%	27%
9	Opportunities to collaborate	26%	34%	33%	24%	16%	12%	43%
10	Housing availability/cost	25%	17%	20%	13%	29%	42%	25%
11	Teaching responsibilities	22%	21%	11%	20%	26%	36%	14%
12	Money for new ventures	19%	26%	22%	9%	17%	13%	18%
13	Family friendly benefits	10%	8%	8%	11%	12%	7%	18%
14	Resources for children	10%	9%	9%	5%	9%	11%	14%

\*Physical sciences, technology, engineering, and math

N=528

N=135

N=85

N=55

N=94

N=100

N=44

†Professions (nonhealth) ‡Health and education professions

Note: Shaded cells of green and blue indicate significant differences based on chi-square, comparing the responses of the subgroup to all other respondents; greens indicate a higher than expected percentage and blues a lower than expected percentage. Dark green/blue = chi-square less than .001; medium green/blue = less than .01; Light green/blue = less than .05. Light gray shading indicates that a valid chi-square value could not be calculated because of one or more low-count cells (N is under 5). Source: UC Berkeley Faculty Climate Survey, 2009.

Some of the notable differences include the following:

- Faculty in the PTEM fields place more importance on the quality of graduate students (rated third), opportunities to collaborate, and money for new ventures, and less importance on geographical location, spouse/partner employment opportunities, and the availability and cost of housing.
- Faculty in the life sciences place more importance on facilities for research (rated second) and less on the department/university reputation and teaching responsibilities.

- Faculty in the professions (nonhealth) place more importance on the department/university reputation (tied for second), geographical location (tied for second), and collegial interactions (rated fourth), and less importance on the availability and cost of housing and money for new ventures.
- Faculty in the social sciences place more importance on collegial interaction (rated third) and less importance on opportunities to collaborate.
- Faculty in the humanities place more importance on the availability and cost of housing (rated fifth) and teaching responsibilities, and less importance on facilities for research and opportunities to collaborate.
- Faculty in the health and education professions place more importance on opportunities to collaborate (tied for fourth).

Examining the same items according to academic rank reveals differences linked more to quality-of-life issues (see Figure 20). For example, among Assistant Professors (and Associates to some degree) concerns about salary, spouse/partner employment opportunities, housing, family-friendly benefits, and resources for children play a more significant role compared particularly to the senior faculty. And among senior faculty (Full Professors above Step VI), salary and housing matter less, while geographical location, quality of graduate students, and research facilities take on a more important role.

Figure 20. Percentage Indicating That the Factor Is Among the Top Five Reasons They Would Consider an Outside Offer, by Academic Rank

Rank	Selected Job Factors	Total	Assistant	Associate	Full <VI	Full VI-IX	Full, AS*
1	Total compensation	59%	58%	59%	55%	61%	64%
2	Annual salary	53%	65%	62%	55%	41%	41%
3	Department/university reputation	50%	44%	46%	46%	57%	57%
4	Geographical location	45%	40%	43%	43%	54%	47%
5	Quality of graduate students	39%	33%	31%	37%	43%	55%
6	Facilities for research	39%	29%	30%	34%	49%	55%
7	Collegial interaction	39%	32%	43%	43%	41%	35%
8	Spouse/partner employment	34%	45%	32%	40%	28%	25%
9	Opportunity to collaborate	26%	23%	25%	29%	26%	31%
10	Housing availability/cost	25%	39%	40%	20%	11%	11%
11	Teaching responsibilities	22%	25%	29%	17%	17%	24%
12	Money for new ventures	19%	15%	15%	28%	20%	18%
13	Family-friendly benefits	10%	20%	10%	11%	6%	2%
14	Resources for children	10%	19%	14%	9%	3%	1%

N=528      N=110      N=114      N=100      N=116      N=88

\*Full Professor, above scale

Note: Shaded cells of green and blue indicate significant differences based on chi-square, comparing the responses of the subgroup to all other respondents. Greens indicate a higher-than-expected percentage and blues a lower-than-expected percentage. Dark green/blue = chi-square less than .001; medium green/blue = less than .01; light green/blue = less than .05. Light gray shading indicates a valid chi-square value could not be calculated because of one or more low-count cells (N is under 5). Source: UC Berkeley Faculty Climate Survey, 2009.

The same items examined by gender reveal differences between the priorities men and women respondents as a group have, with men seemingly more focused on total compensation and the quality of graduate students and less focused on collegial interaction, spouse/partner employment, and family-friendly benefits (see Figure 21). For women the opposite is generally true, with more emphasis on collegial interaction (ranked fourth), spousal/partner employment, and family-friendly benefits and less on the quality of graduate students.

Figure 21. Percentage Indicating That the Factor Is Among the Top Five Reasons They Would Consider an Outside Offer, by Gender and Race/Ethnicity/Citizenship

Rank	Selected Job Factors	Total	Men	Women	White	Asian	URM*	Non-U.S.
1	Total compensation	59%	62%	54%	61%	48%	70%	36%
2	Annual salary	53%	54%	55%	53%	52%	58%	48%
3	Department/university reputation	50%	50%	49%	49%	55%	44%	52%
4	Geographical location	45%	48%	43%	46%	39%	47%	60%
5	Quality of graduate students	39%	43%	30%	39%	36%	33%	40%
6	Facilities for research	39%	40%	36%	38%	39%	37%	40%
7	Collegial interaction	39%	35%	45%	39%	36%	42%	40%
8	Spouse/partner employment	34%	30%	40%	34%	39%	35%	36%
9	Opportunity to collaborate	26%	24%	31%	27%	32%	28%	16%
10	Housing availability/cost	25%	27%	23%	23%	32%	28%	36%
11	Teaching responsibilities	22%	23%	22%	22%	16%	21%	24%
12	Money for new ventures	19%	21%	15%	20%	20%	19%	8%
13	Family-friendly benefits	10%	8%	14%	8%	7%	21%	20%
14	Resources for children	10%	8%	13%	9%	14%	16%	12%

\*Includes African American, Hispanic, and Native American.

N=528

N=338

N=181

N=390

N=44

N=43

N=25

Note: Shaded cells of green and blue indicate significant differences based on chi-square, comparing the responses of the subgroup to all other respondents. Greens indicate a higher-than-expected percentage and blues a lower-than-expected percentage. Dark green/blue = chi-square less than .001; medium green/blue = less than .01; light green/blue = less than .05. Light gray shading indicates a valid chi-square value could not be calculated because of one or more low-count cells (N is under 5). Source: UC Berkeley Faculty Climate Survey, 2009.

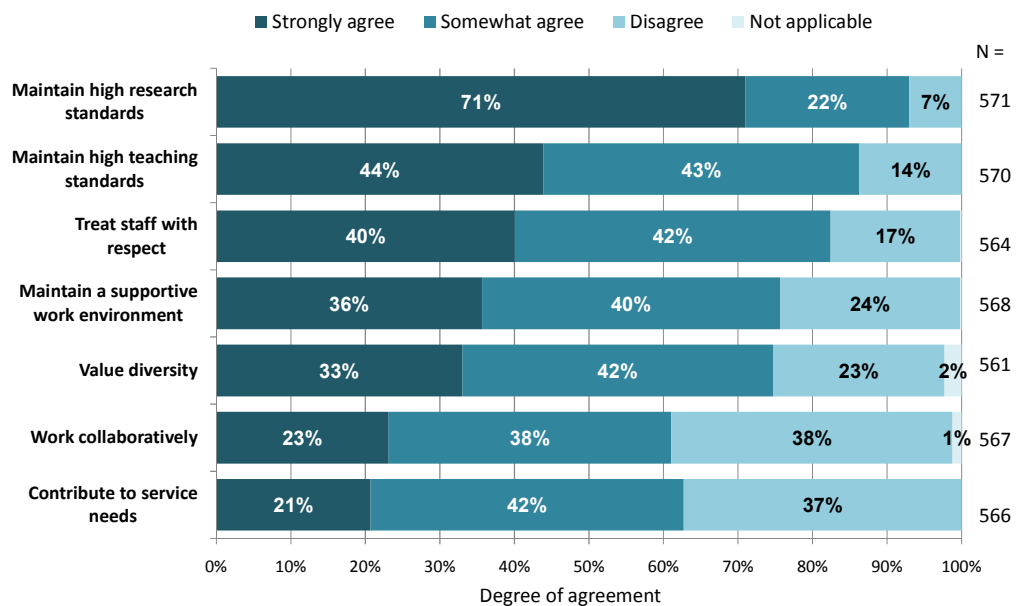
## Conclusion: Retention

The issue of outside offers and counteroffers as it relates to retention is complex. Most faculty agree that, in principle, it is necessary to match outside offers of higher salary to retain excellent faculty at Berkeley. At the same time, when presented with a theoretical outside offer involving significant financial resources, many faculty feel that it is inappropriate for Berkeley to match it, and that faculty should not need to “game the system” with outside offers to receive salary boosts. Having an understanding of which factors are most likely to result in faculty leaving the university for a different position (total compensation, annual salary, department/university reputation, geographical location, and quality of graduate students), on the other hand, is likely to best support their staying. However, findings from the survey show that priorities differ by academic discipline, rank, gender, and race and ethnicity, and these differences should be considered as part of any policy recommendations.

## DEPARTMENT/UNIT QUALITY AND CLIMATE

Although faculty work for the university as a whole and are affected by institutional policies, the individual department or unit in which they work is its own microcosm, with specific dynamics, issues, and concerns. The experience of daily life at Berkeley for academic senate faculty members is strongly influenced by the quality and climate of their immediate environment. For this reason, the survey asked a series of questions about perceptions of faculty colleagues and about the climate in their unit specifically. Figure 22 shows responses to the questions about the faculty in their department/unit. By far the highest level of agreement is associated with the statement “Faculty in my department maintain high research standards,” with 93% either strongly or somewhat agreeing. Most (75% to 85%) also feel that teaching standards are high, that staff (administrative, clerical, and technical) are treated with respect, that their unit has a supportive working environment, and that diversity is valued. Only about 60%, however, agree that the faculty in their unit work collaboratively or contribute fairly to the service needs of the unit.

Figure 22. *In general, my faculty colleagues in my unit . . .*



Examined by academic rank, higher percentages of Assistant Professors and Full Professors above scale agree with some items, and lower percentages of Associate Professors and Full



Professors at Steps VI through IX agree with some items (see the Appendix, Figure 20). Specifically, compared to other faculty ranks,

- More Assistant Professors agree that staff are treated with respect, that the working environment is supportive, and that everyone contributes fairly to service needs
- More Full Professors above scale agree that their colleagues work collaboratively, value diversity, and contribute to service needs
- Fewer Associate Professors, on the other hand, feel that the working environment is supportive, that faculty work collaboratively, or that diversity is valued
- Fewer Full Professors at Steps VI through IX agree that everyone contributes fairly to service work

These findings mirror the overall satisfaction ratings, in which the lowest- and highest-ranked faculty expressed the most positive views. There are also differences in experience by gender and ethnicity/citizenship: Significantly fewer women than men feel that diversity is valued and that everyone contributes fairly to the service needs of the unit, and fewer faculty from URM groups compared to other groups agree that faculty in their unit work collaboratively or value diversity (see the Appendix, Figure 21).

The same survey questions about faculty colleagues were also asked in the 2003 survey, and they show nearly identical responses (for example, in 2009 93% of the faculty agreed that their faculty colleagues maintain high research standards, and in 2003 the percentage in agreement was 92%).

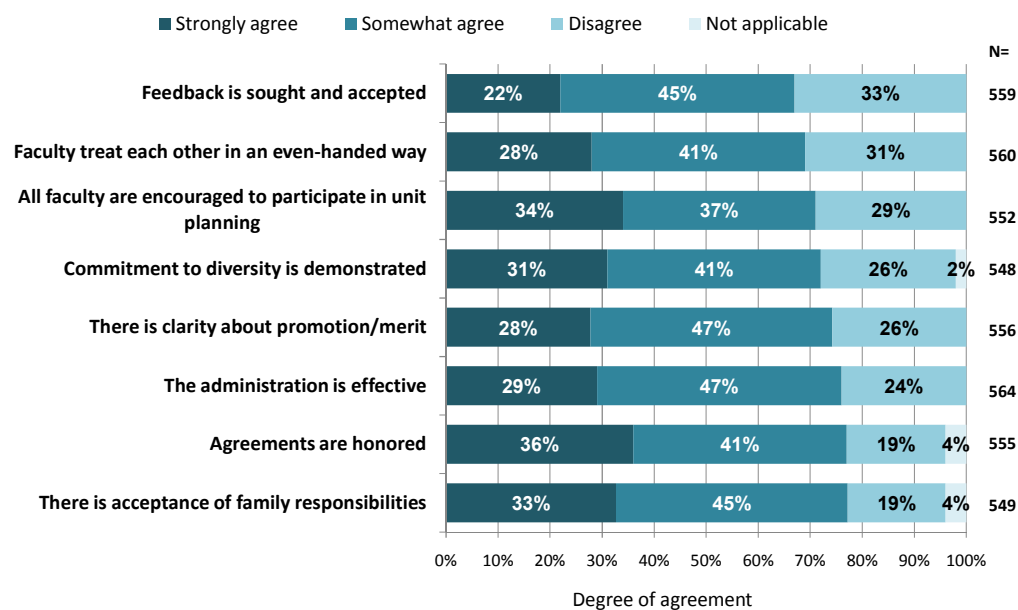
An additional series of items assessed perceptions of the climate of the unit more broadly, which can be divided into five main areas:

- *Leadership/administration in their department or unit* (for example, “The administration is effective,” “Agreements are honored”)
- *Feedback/evaluation* (for example, “Feedback is sought and accepted,” “There is clarity about promotion/merit”)
- *Unit planning* (for example, “All faculty are encouraged to participate in unit planning,” “Everyone shares in making important decisions”)

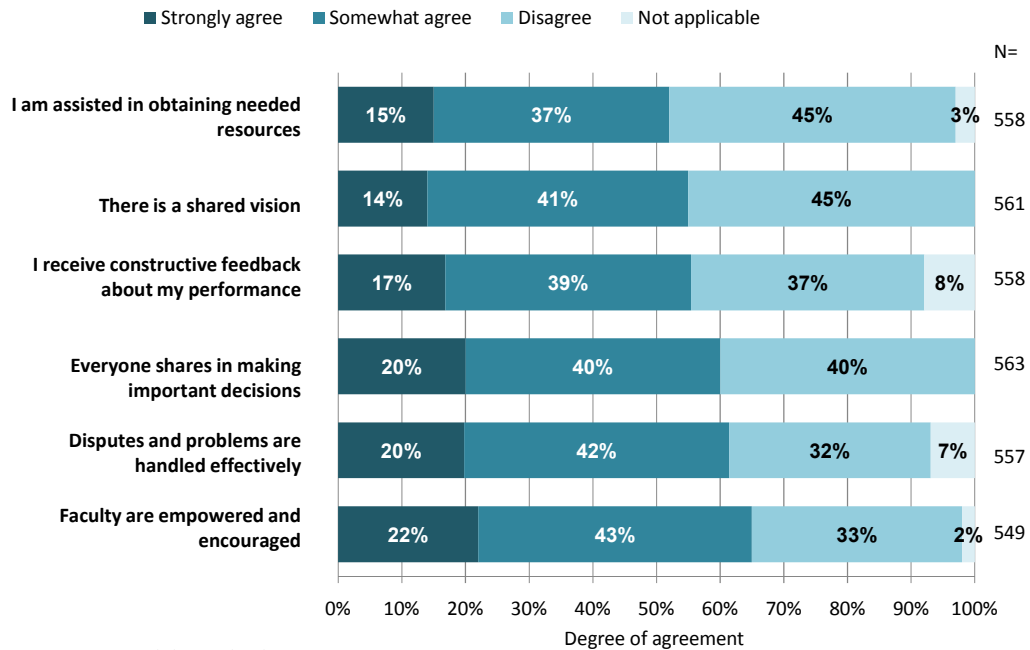
- *Relationships* (for example, “Faculty treat each other in an even-handed way”)
- *Work/life* (“There is acceptance of family responsibilities”)

Figures 23a and 23b show the overall findings with respect to unit climate, organized by most and least agreement with the statements. Taken separately, no more than about one-third, and as few as 14%, of the overall respondents strongly agree with any particular item. The two items with the highest level of agreement are “Agreements are honored” and “There is acceptance that faculty have family responsibilities.” On the opposite end of the spectrum, only slightly more than half agree *at all* with these statements: “I receive constructive feedback about my performance,” “In my unit there is a shared vision,” and “In my unit I am assisted in obtaining needed resources.” As was the case with perceptions of faculty colleagues, compared to 2003 (many of the same items were asked) there is remarkable congruence in levels of agreement or disagreement with unit climate (the one exception is the percentage of faculty who agree that the administration is effective, rising from 68% to 76% of the faculty over the time period).

Figure 23a. *In my unit . . .*



Source: UC Berkeley Faculty Climate Survey, 2009

Figure 23b: *In my unit . . .*

## Leadership/Administration

Overall, nearly 80% of faculty respondents feel that the department or unit administration is effective (for example, one respondent, a male Associate Professor, referred to a “*general sense of well-run and well-intentioned administration with good vision for future*”). Most (more than 70%) also agree that agreements are honored and a commitment to diversity is demonstrated. However, there are some aspects of unit leadership or administration that fewer faculty agree with. In particular, about 65% agree that faculty are empowered and encouraged and that disputes and problems are handled effectively, and only about 50% agree that they are assisted in obtaining the resources they need. (A male Associate Professor stated that “*Staff support for faculty is a huge problem; sometimes it is nonexistent. Faculty spend hours doing administrative/secretarial work.*”)

Looking more closely at these issues by academic field, academic rank, gender, and ethnicity/citizenship shows that most of the differences in perception of the leadership/administration are between academic fields (there are no significant differences between academic ranks for these items). More of those in the PTEM fields agree with the

statements “Faculty are empowered and encouraged” and “Disputes and problems are handled effectively,” more of those in the biological sciences agree with the statements “Agreements are honored” and “Disputes and problems are handled effectively,” and more of those in the humanities agree with the statement “The administration is effective.”

#### Positive Experiences of Unit Climate

*“I feel that my opinion is taken seriously in making important departmental decisions.”*  
—Male Full Professor, above scale)

*“Really great colleagues in the sense that they’re very good and we get along quite well.”*  
—Female Assistant Professor

*“I enjoy the positive working environment of my unit and the generally collegial nature of my colleagues.”*  
—Male Assistant Professor

#### Negative Experiences of Unit Climate

*“I’ve been disappointed by the absence of true collegiality within my department. My colleagues are professional and civil, but there’s not much satisfaction in interacting with most of them.”*  
—Female Assistant Professor

*“Though I am on good terms with all, I feel a sense of isolation for being always the last to know what happens in the department.”*  
—Male Assistant Professor)

*“There is a lack of departmental cohesion.”*  
—Male Associate Professor

Examined by gender, men are more likely, and women less likely, to agree that disputes and problems are handled effectively and that faculty are empowered and encouraged. By ethnicity/citizenship, White faculty are more likely, and respondents from URM groups less likely, to feel that disputes and problems are handled effectively and that a commitment to diversity is demonstrated.

#### Feedback/Evaluation

Faculty were asked whether they feel that their feedback is sought and accepted in their unit (nearly 70% agree), whether they themselves receive constructive feedback about their performance (only about 55% agree), and whether they agree that there is clarity about the promotion and merit process (75% agree). There were few differences between groups on these items. With respect to their feedback being sought and accepted, higher percentages of Assistant Professors and Asian faculty agreed, and lower percentages of faculty in the health and education professions agreed. Assistant Professors are more likely than those at other ranks to agree with the statement “I receive constructive feedback about my performance.” Finally, regarding clarity about merit and

promotion, faculty respondents in PTEM fields and White faculty have the highest rates of agreement.

## Unit Planning and Decision Making

Three questions assessed how faculty feel about how their unit engages in strategic planning and decision making. Most survey respondents agree that all faculty are encouraged to participate in unit planning (about 70%). About 60% agree that everyone shares in making important decisions, but respondents from URM groups have lower rates of agreement. Finally, only 55% of faculty feel that there is a shared vision in their unit, with higher rates of agreement among men, White faculty, and faculty in the PTEM fields, and significantly lower rates among URM groups.

## Relationships and Work/Life

The item “Faculty treat each other in an even-handed way” offers some insight into faculty relationships in individual units. More than any other unit climate issue, this one has the most differences across the various groups that were examined. For example, more faculty respondents in the PTEM fields agree with the statement compared to those in other academic fields. And more junior and senior faculty (Full Professor above scale) agree, while fewer Associate Professors and Full Professors below Step VI do. A higher percentage of men agree than women (73% vs. 64%). And finally, respondents from URM groups are less likely to agree (just 52%, compared to about 70% of others).

The last item, “There is acceptance that faculty have family responsibilities,” has high levels of agreement among most groups. The highest level of agreement was among respondents in the humanities (fully 90%), while the lowest was among those in the health and education professions (66%). One woman faculty respondent stated, *“Despite the fact that few senior faculty have children in my department (or their children are adults), the department has been extremely supportive of work-family balance.”*

## Conclusion: Department/Unit Quality and Climate

With respect to unit climate, there appears to be room for improvement in nearly every area, with fairly large discrepancies between factors in the same general category (such as leadership and administration). Although most faculty agree with most of the items, very few agree strongly with factors that may affect their satisfaction and success. Some of the differences found by field, rank, gender, and ethnicity/citizenship provide particular insight into areas that could be the focus of future attention. Additionally, the fact that perceptions of unit climate are virtually the same in 2009 as they were in 2003 is noteworthy.

## CAREER/LIFE ISSUES

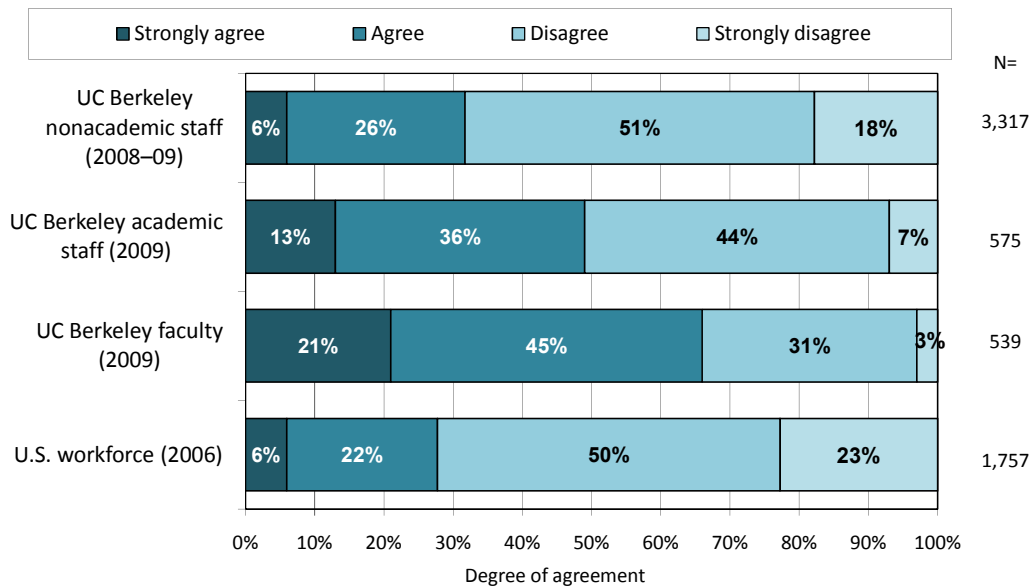
### WORK/LIFE

Survey items taken from the NIOSH Quality of Worklife Questionnaire provide a unique opportunity to assess work/life issues among faculty and to compare the experience of Berkeley faculty to a nationally representative sample of the U.S. workforce, as well as to other campus populations (nonacademic staff and academic staff were also surveyed in 2009 and responded to the same items). These survey items focus on quality-of-life issues. There are obviously major demographic differences between the general U.S. workforce and UC Berkeley faculty in terms of age, race and ethnicity, education level, socioeconomic status, and geographic location, but the comparisons are nonetheless illuminating. We rarely have the chance to step outside of academia and consider how aspects of the profession are similar to and different from those of the general workforce.

#### Work Productivity and Satisfaction

Compared to the U.S. workforce, all faculty respondents to the Berkeley survey have somewhat lower rates of agreement with the statement “Conditions on my job allow me to be about as productive as I could be.” Eighty-five percent of the U.S. workforce (in 2006) agree or strongly agree with the statement, compared to 64% of faculty, 66% of nonacademic staff, and 71% of academic staff at UC Berkeley. Overall job satisfaction (“All in all, how satisfied would you say you are with your job?”) is similar between the four groups, although Berkeley nonacademic staff have a lower rate of satisfaction (75% compared to 88% of faculty saying they are somewhat or very satisfied).

A stark difference in findings comes from the item “My main satisfaction in life comes from my work” (see Figure 24). Only 6% of the U.S. workforce and Berkeley nonacademic staff strongly agree with the statement; altogether about 30% either agree or strongly agree. Berkeley faculty, however, have much higher rates of agreement. A full 21% strongly agree, and an additional 45% agree, for a total of two-thirds of faculty who feel that their academic career is their main satisfaction in life. The highest rates of agreement are among Full Professors at Steps VI through IX (73% agree) and Full Professors above scale (82% agree). About half of Associate Professors (54%) agree with the statement, a percentage that is much higher than in the general workforce. The various qualities and the commitment associated with an academic career clearly have a different attachment for many faculty compared to the general workforce and nonacademic staff at UC Berkeley.

Figure 24. *My main satisfaction in life comes from my work*

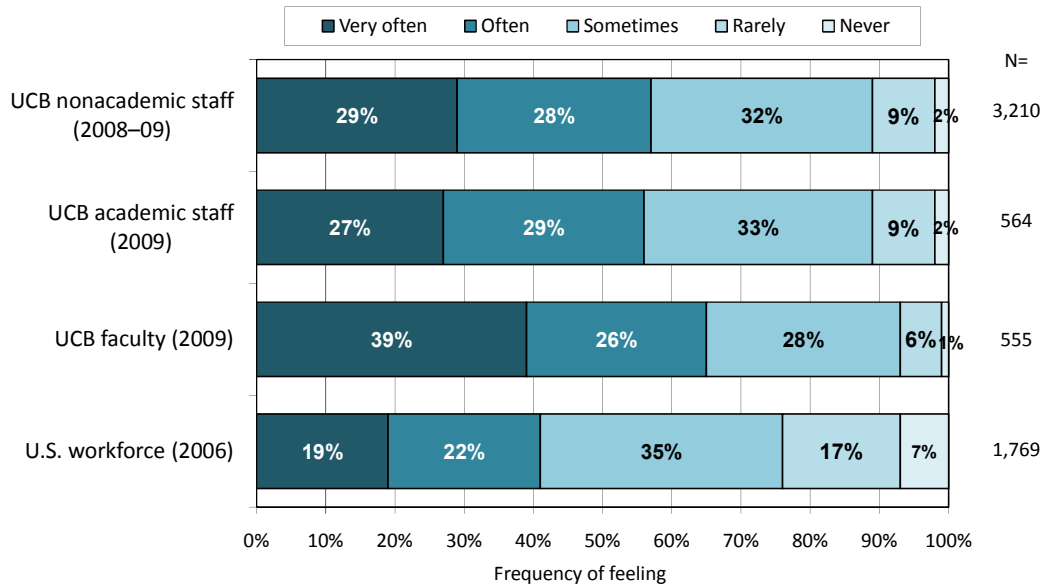
Sources: UC Berkeley Nonacademic Staff Climate Survey, 2008–2009  
 UC Berkeley Academic Staff Climate Survey, 2009  
 UC Berkeley Faculty Climate Survey, 2009  
 NORC, General Social Survey (GSS), NIOSH Module, 2006

## Balancing Work and Life

All populations were asked how often they feel “used up” at the end of the day. Faculty have the highest rates, particularly of those who indicated that they feel that way very often (see Figure 25). Nearly 40% of faculty feel used up at the end of the day very often (during the past month), compared with 19% of the U.S. workforce. About one-quarter of the U.S. workforce rarely or never feels used up at the end of the day, compared to just 7% of faculty respondents. Other Berkeley populations also have higher rates in general than the U.S. workforce, but the difference between faculty and the general population is fairly dramatic.

More women faculty than men report feeling used up at the end of the day often (very often or often) —72% compared to 60%. Assistant and Associate Professors also have higher rates (73% and 74%, compared to 53% of Full Professors at steps VI through IX and 56% of Full Professors above scale). In addition a higher percentage of faculty in the Humanities reported feeling this way very often (76%, compared to 54% in the life sciences).

Figure 25. How often during the past month have you felt used up at the end of the day?

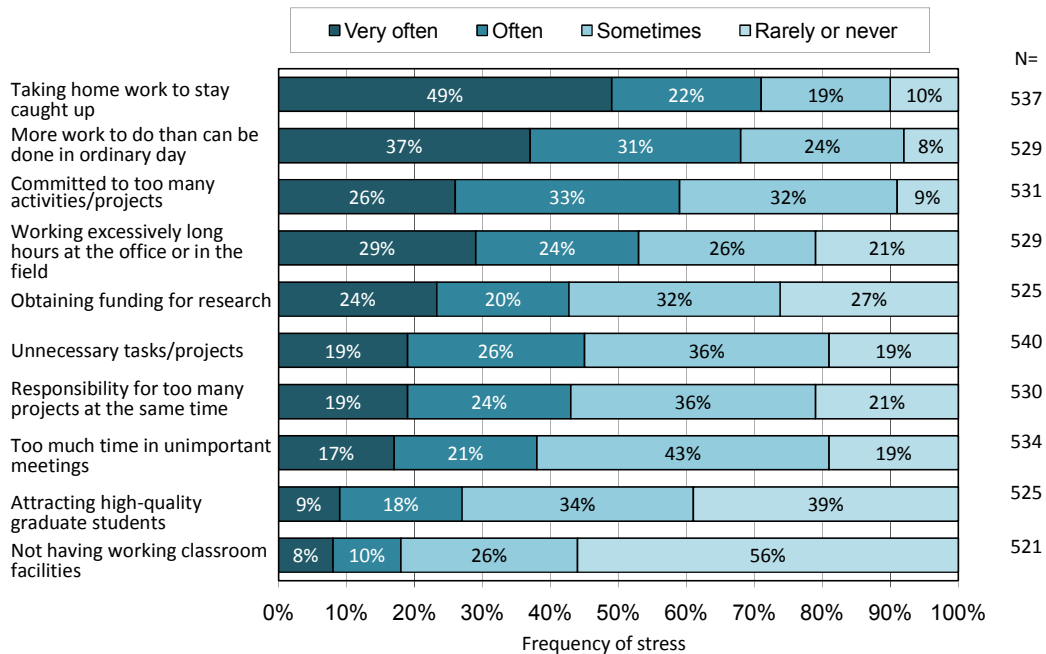


Sources: UC Berkeley Nonacademic Staff Climate Survey, 2008–2009  
 UC Berkeley Academic Staff Climate Survey, 2009  
 UC Berkeley Faculty Climate Survey, 2009  
 NORC, General Social Survey (GSS), NIOSH Module, 2006

When asked about sources of stress related to work, many faculty report high levels of stress (experiencing it very often or often) in a number of areas (see Figure 26). More than half of the faculty respondents very often or often are stressed by taking work home in the evenings or on weekends to stay caught up, by having more work than can be done in an ordinary day, by being committed to too many activities or projects, and by working excessively long hours at the office or in the field (with few reporting that they rarely or never experience stress in these areas). Smaller proportions have high levels of stress related to obtaining funding for research, feeling that they have too many unnecessary tasks or projects, and spending too much time in unimportant meetings. The least amount of stress is related to attracting high-quality graduate students and not having working classroom facilities. However, for 9 out of 10 of these items, the majority of faculty experience stress related to them at least sometimes.



Figure 26. How often do each of the following cause you stress related to your work?



Source: UC Berkeley Faculty Climate Survey, 2009.

When asked about their health status, a higher percentage of faculty respondents overall report being in excellent or very good health, compared to the U.S. workforce (73% vs. 56%). Although the average age of Berkeley faculty members is higher than that of the general U.S. workforce, which is associated with poorer health, there is no impact of poverty or low income as there is in the general U.S. workforce—factors that are highly correlated with health status.

Two survey items examined work/life conflict, asking how often the demands of the job interfere with family (personal) life and the converse, how often the demands of family (personal life) interfere with work. Figure 27 provides a very stark illustration of the rigor,



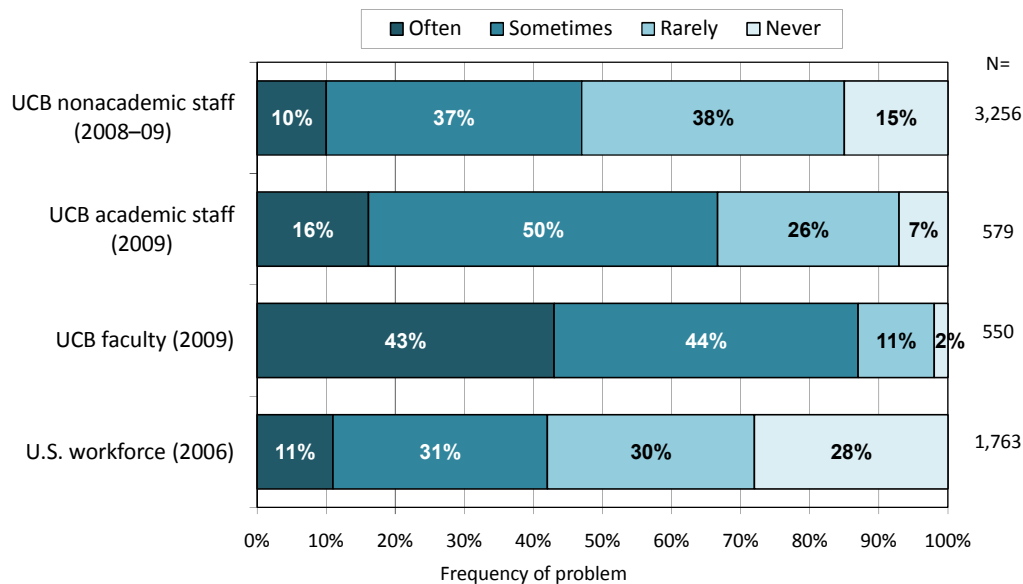
*"The biggest negative, and the reason I almost left Berkeley, was NOT money or other professional issues, but family. My department is reasonably good at trying to make work/family doable for (junior) faculty, but I feel overwhelmed much of the time, with too much grad supervision, too much time on teaching a demanding large lecture, definitely not enough time to do writing, and then feeling continuous guilt at not spending enough time with the kids and family. . . . There are not enough hours in the week to be 'excellent' on research, teaching, and service, plus be a great parent and spouse."*

—Female Assistant Professor



intensity, and nontraditional hours required of an academic career. Nearly all faculty respondents feel that their job interferes with their family or personal life sometimes or often (nearly half say it interferes often). Compared to the U.S. workforce and the UC Berkeley nonacademic staff, which are very similar, Berkeley faculty report managing high levels of work/family conflict on a regular basis. Women faculty report such conflicts at higher rates than men (with 52% indicating that it occurs very often or often, compared to 38% of men), as do younger faculty (52% of Assistant Professors and 54% of Associate Professors indicated that this occurs very often or often, compared to 25% of Full Professors above scale). A much higher proportion of faculty, compared to the other populations, also feel that their family or personal life interferes with their job (54% indicated that it does so often or sometimes, compared to 29% of the U.S. workforce).

Figure 27. How often do the demands of your job interfere with your family life?



Sources: UC Berkeley Nonacademic Staff Climate Survey, 2008–2009  
 UC Berkeley Academic Staff Climate Survey, 2009;  
 UC Berkeley Faculty Climate Survey, 2009;  
 NORC, General Social Survey (GSS), NIOSH Module, 2006

The survey also assessed aspects of the job that faculty consider beneficial specifically to their family life. For all eight items, the majority of faculty respondents report that they are very or somewhat beneficial to their family life, including the flexibility of their schedule (97%), UC benefits (94%), the rewarding nature of the work and contribution to larger society/students/knowledge (85%), access to a culturally rich environment (82%), opportunity for travel (79%), monetary compensation (71%), and social interaction with colleagues (56%). In general, more senior faculty seem to see the benefits that their career has for their family

life. For example, 92% of Full Professors above scale feel that the rewarding nature of the work is very or somewhat beneficial to their family life, compared to 77% of Assistant Professors. In addition, 82% of Full Professors above scale appreciate the prestige of their position for their family life, compared to 60% of Assistant Professors.

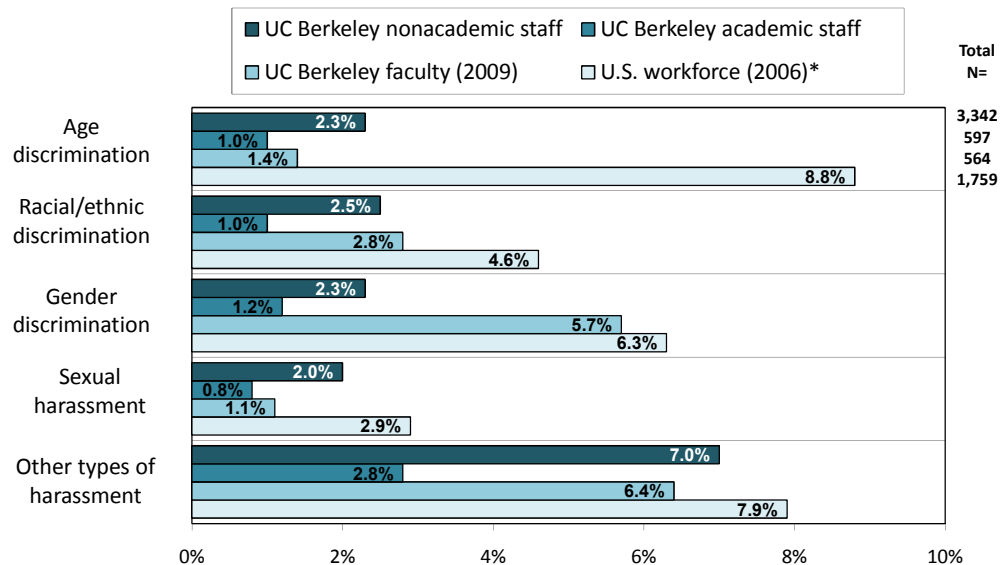
## Discrimination

A final item assessed the rates at which faculty indicated that they experienced discrimination in terms of age, race or ethnicity, and gender, and harassment (sexual and other types). Specifically, they were asked whether they believe they have been discriminated against as an employee at UC Berkeley in the last three years. Figure 28 shows that faculty respondents “report”<sup>15</sup> noticeably lower rates of discrimination than the U.S. workforce, with the exception of gender discrimination: About the same percentage of Berkeley faculty as those in the U.S. workforce feel that they have been discriminated against in the last three years because of their gender. And 6% of faculty, compared to 8% of the U.S. workforce, feel they have experienced “other types of harassment” (defined as being threatened or harassed by anyone while they were on the job). Examining these data by gender and by race and ethnicity gives a different picture for particular groups. Specifically, among women faculty respondents 14% “report” experiencing gender discrimination during the last three years, a much higher rate than for the U.S. workforce. Similarly, nearly a quarter of URM faculty (23%) “report” experiencing racial/ethnic discrimination at UC Berkeley.

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<sup>15</sup> Respondents indicated only whether they feel they experienced one of the types of discrimination, not whether they reported an incident to a university official.

Figure 28. *Do you feel you have experienced any of the following as an employee at UC Berkeley in the last three years?\**



Sources: UC Berkeley Nonacademic Staff Climate Survey, 2008–2009  
 UC Berkeley Academic Staff Climate Survey, 2009  
 UC Berkeley Faculty Climate Survey, 2009  
 NORC, General Social Survey (GSS), NIOSH Module, 2006  
 \*NOTE: Comparability with GSS data is likely suspect.

\*GSS 2006 question versions: *Do you feel in any way discriminated against on your job because of your age, race/ethnic origin, or gender? In the last 12 months, were you sexually harassed or threatened or harassed by anyone while you were on the job?*

## Conclusion: Work/Life

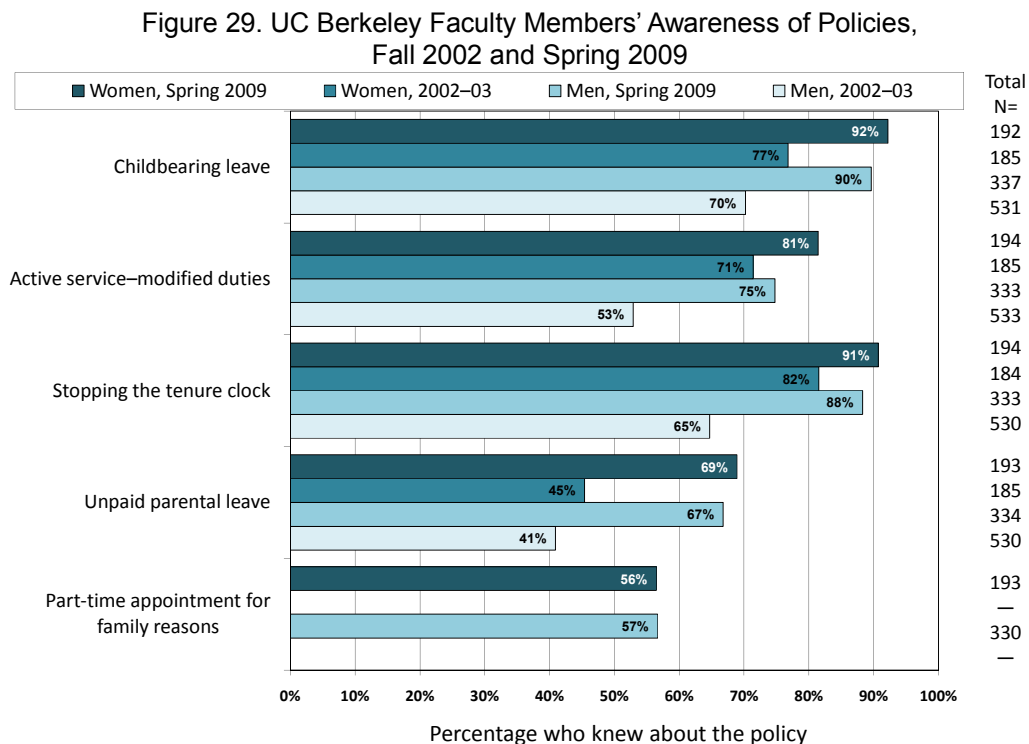
Although job satisfaction levels among the two populations are similar, compared to the general U.S. workforce, a significantly larger proportion of UC Berkeley ladder-rank faculty attach a high level of significance to their work, feeling that it is their main satisfaction in life. The nature of an academic career also takes a toll on personal and family life, with high levels of faculty indicating that they often feel used up at the end of the day, and a difficult balance between work and home life. While most faculty feel that they are treated fairly and appropriately, higher percentages of women faculty and URM faculty indicated that they had experienced discrimination, compared to the percentages for the respondents overall.

## FAMILY-RESPONSIVE POLICIES

The University of California has a comprehensive package of family-responsive policies for ladder-rank faculty, including childbearing leave for birth mothers, active service–modified duties (ASMD), stopping the tenure clock for the care of a child or children, parental leave

without pay, deferral of personnel reviews at the associate level or above to accommodate family needs, and part-time appointments for family needs. These policies were augmented and improved effective in January 2006.<sup>16</sup> One of the most significant changes to the family-friendly package at that time was the unambiguous message that faculty men and women with substantial caregiving responsibilities, or those who give birth to a child, are *entitled* to the use of the appropriate family-responsive policies (rather than *may request* them). Centralized funding was also created to offset the cost of replacement teachers for individual departments.

In 2002—2003, as part of the UC Berkeley Work-Family Survey, and in this 2009 Faculty Climate Survey, we asked faculty about their awareness of, use of, and support for the five major family-responsive policies. Figure 29 shows changes in awareness over the time period by gender (the option of a part-time appointment for family needs was not implemented until 2006). For all four policies, awareness increased significantly, particularly among men, with similar proportions of men and women now knowing about them.

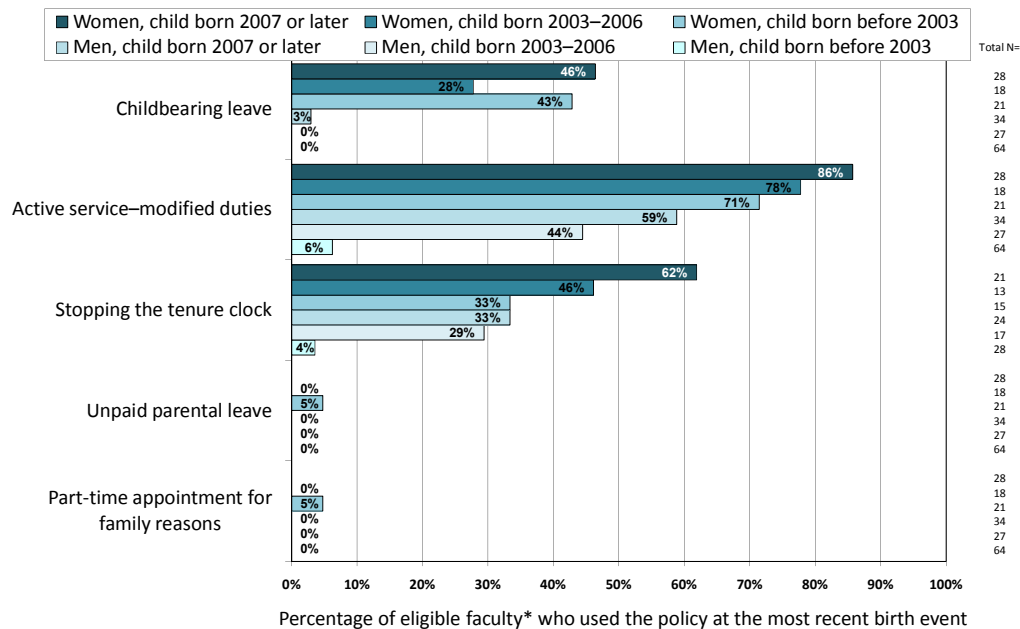


Sources: Mary Ann Mason, Angelica Stacy, Marc Goulden, UC Berkeley Faculty Work-Life Survey, 2002; UC Berkeley Faculty Climate Survey, 2009.

<sup>16</sup> A grant from the Alfred P. Sloan Foundation supported much of this work. In 2006 UC Berkeley received an Alfred P. Sloan Foundation Faculty Career Flexibility Award in recognition of this work.

Faculty with recent births are also increasingly using the family-responsive policies, with ASMD having the highest use rates (see Figure 30). For women with children born between 2007 and 2009, 86% used ASMD and 62% used tenure clock stoppage. The majority of men with children born between 2007 and 2009 also used ASMD (59%), compared to just 6% of the cohort with children born before 2003. The use of temporary or permanent part-time appointments for family needs, although an official policy for several years prior to the administration of the survey, has not begun in earnest at UC Berkeley.

Figure 30. Use of Family-Responsive Policies by UC Berkeley Faculty, by Timing of Most Recent Birth of a Child,\* Spring 2009 (Retrospective 1989–2009)



\*At the time of the most recent child's birth, the faculty member had to be employed at UC Berkeley.

Source: UC Berkeley Faculty Climate Survey, 2009.

Support for family-responsive policies among faculty respondents has reached a tipping point, with all but a few individuals either very or somewhat supportive (most are very supportive) of ASMD, stopping the tenure clock, and part-time appointments for family reasons (also recall that that most faculty feel there is acceptance in their unit that faculty have family responsibilities). Further, the majority of faculty who used the policies report either a very positive or positive impact of the policy on their career, with few differences between men and women (one respondent said, "I am extremely grateful and feel lucky to have benefited from UC Berkeley's ASMD policies"). One exception is among women who stopped the tenure clock: 11% feel that it had a negative impact on their career (compared to 57% indicating a positive or very positive impact, 4% indicating no impact, and 29% who don't yet know the impact). However, the number of women respondents who stopped the tenure clock and are now able to look

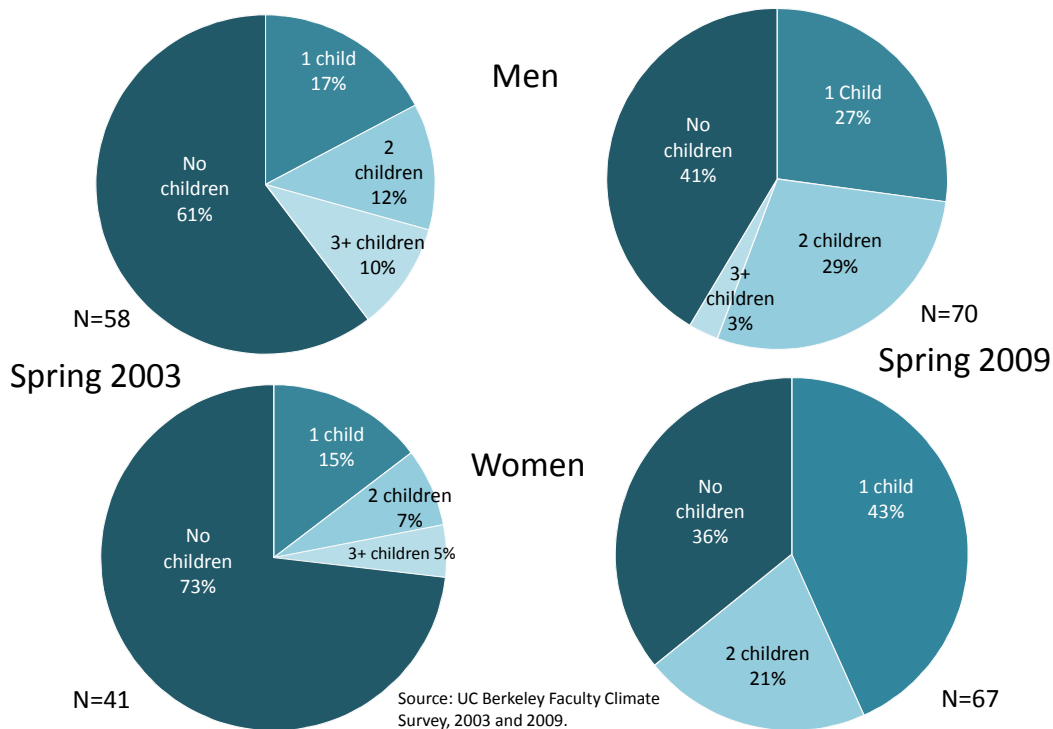
back after receiving tenure is small, with 11% representing only three women faculty. No men indicated that it had a negative impact on their career, and 80% feel that it had a positive or very positive impact. More time is needed for an assessment of the long-term impact of these changes in policy and for a better assessment of potential gender differences in experiences of policy use.

A dramatic change has occurred among the Assistant Professor population over the past six years (see Figure 31). In 2003, few Assistant Professors of either gender had any children at all. Over the ensuing six years a number of significant institutional efforts, in terms of policy, cultural, and communication practices (including a 2006 award from the Alfred P. Sloan Foundation for Faculty Career Flexibility),<sup>17</sup> were instated. In 2009, we found that 64% of Assistant Professor women and 59% of Assistant Professor men had at least one child, a dramatic increase that may be partly a result of the instituted changes. About half of all Assistant Professors now have or share substantial caregiving responsibility (50% or more of the care) for a child under the age of five, compared to only about one-quarter of Associate Professors. This trend toward more children at the early and middle ranks is one that seems likely to continue.

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<sup>17</sup> The proposal for this award is available here: <http://ucfamilyedge.berkeley.edu/Sloan%20Award%20Proposal%20Final.pdf>.

Figure 31. Number of Assistant Professors with Children



## Child Care

With the substantial increase in the proportion of Assistant Professor faculty with children (and a likely continuation of the trend), there has been a concomitant increase in the need for high-quality child care. Other peer institutions around the country typically offer a fuller suite of child care supports than exist at Berkeley (which currently serves about 60 faculty in on-campus care and offers backup care to Assistant Professors), including vouchers to cover part of the cost, a high number of on-campus slots, backup care available to all faculty, and a child care resource and referral service. When asked their opinion on how useful resources such as these would be for their family, faculty with children under the age of five overwhelmingly indicated that they would be somewhat or very useful (for example, 91% would find vouchers and/or subsidies useful, 87% would find access to on-campus child care useful, 90% would find a backup care program useful, and 80% would find a child care resource and referral program useful).



More than half of women Assistant Professors at Berkeley have sought infant (ages 0 through 2) or child care (ages 2 through 5) in the last five years. Of both men and women seeking care, the majority (over three-quarters) sought care in a facility (as opposed to a family day care home or care with a nanny), and 75% of faculty seeking *infant care* prefer it to be on or near campus (see Figure 32). Of those seeking *child care*, about half of men and three-quarters of women prefer it to be on or near campus. Faculty men are much more likely than faculty women to have a stay-at-home or part-time employed spouse, which would support the desire to have their child in preschool close to home.

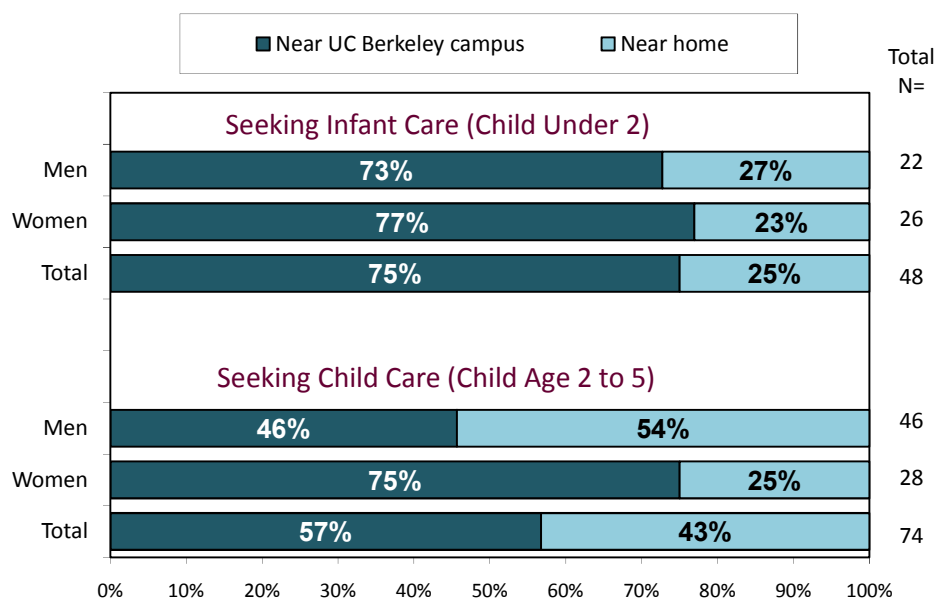
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*"You need to work on investing more in your Assistant Professors. We are the future of this university. If you do not invest in us, the university will in the long term decline. This includes a competitive, transparent, accessible child care support system, accessible to ALL Assistant Professors. We need it."*

—Male Assistant Professor

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Figure 32. Location Preference Among Faculty\* Seeking Infant/Child Care



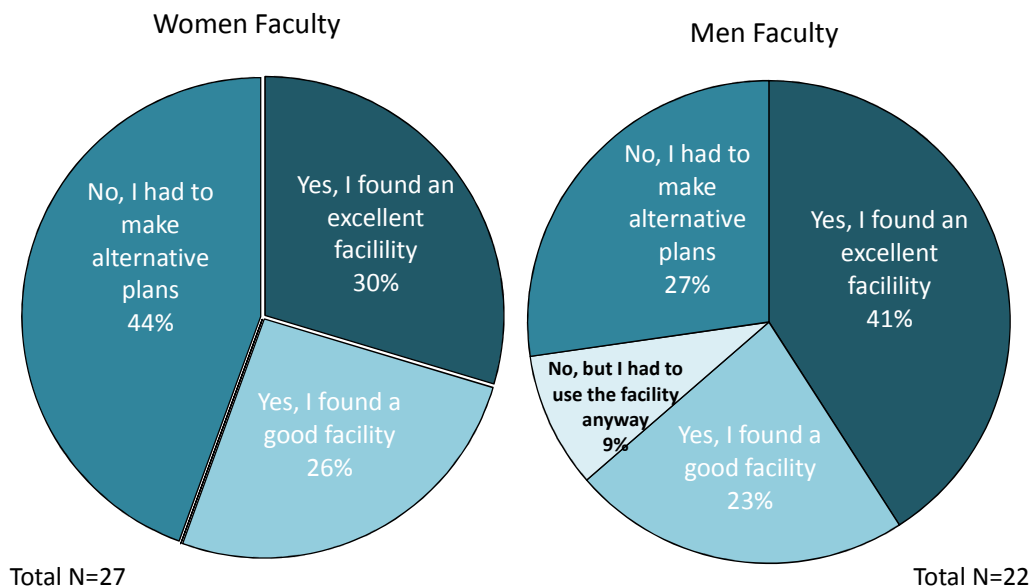
\*Missing gender data and other location are excluded.

Source: UC Berkeley Faculty Climate Survey, 2009.

Unfortunately, the availability of infant (and toddler) care on the Berkeley campus and in the surrounding community is very limited. Sixty percent of faculty respondents seeking infant care indicated that the availability of slots was poor (only 14% said that it was good, and no one reported that the availability was excellent). For child care (preschool age), there are

significantly more options; however, 71% of faculty reported that the availability was either fair or poor. When asked whether faculty seeking infant care in the last five years had found a program that met their family's needs, 44% of women faculty and 27% of men faculty indicated that they had not and had to make alternative plans (see Figure 33). Only 30% of women and 41% of men found what they considered to be an excellent program for their infant. Faculty seeking care for their child between the ages of two and five had more success in finding an arrangement they feel good about: More than half of women and 60% of men found an excellent program, and few had to make alternative arrangements.

Figure 33. Faculty\* Seeking Infant Care (Child Under 2)  
Did you find an infant care program that met your family's needs?



Source: UC Berkeley Faculty Climate Survey, 2009.

\*Missing gender data are excluded; pertains only to individuals seeking care in facilities/family day care homes.

Issues related to child care are likely to become more rather than less important in the future as more and more faculty seek to balance family and career needs. As an institution, Berkeley's recruitment and retention strength will increasingly include how well family needs can be met.

### Faculty Speak About Child Care Issues

*"Anything to help make child care more affordable and/or more affordable options easier to find would be very useful."*

—Female Assistant Professor

*"We were on a waiting list for three years for my oldest child and she didn't get in to our first choice for care."*

—Male Associate Professor

*"You cannot expect to recruit young academics if the options for child care are too constrained or unduly cost-prohibitive."*

—Female Assistant Professor

*"Occasionally it would help to have care for a sick child for a period of two hours so that I could teach a class, or give a seminar. I think that such a facility would be a great relief to many faculty with young children."*

—Male Associate Professor

*"The cost of preschool is extremely high, and there is no subsidy for faculty. The people who are most affected by this are likely to be at the assistant level, earning the least money. Over half of my PRE TAX salary has gone to preschool in the past two years."*

—Female Assistant Professor

## CONCLUSIONS AND RECOMMENDATIONS

### ASPECTS OF FACULTY CAREER/LIFE THAT ARE GOING WELL

Many things are going well from the perspectives of the faculty in the spring of 2009. Overall satisfaction is high and has increased since our previous assessment in 2003. Faculty are satisfied in many of the areas that matter the most to them, including benefits, the quality of our graduate students, teaching responsibilities, and housing (which experienced a significant increase in satisfaction since 2003).

Additionally:

- Women overall are satisfied with their rank, and among the most junior and the most senior faculty satisfaction has increased over time (from 2003 to 2009). There is still a noticeable dip in satisfaction at the Associate Professor rank for both men and women, but women have higher rates of being very satisfied than men at the same rank.
- Assistant Professors are generally happy—more than half are very satisfied with their job overall, most are satisfied with their rank, and most feel that the working environment is positive and colleagues contribute fairly to the service needs of the department.
- Most faculty are aware of the available merit and promotion policies and processes and have used them if they were needed or appropriate. Lack of awareness for a given policy or practice is generally confined to 10% or less of the faculty, with a few important exceptions.
- The majority of faculty are engaged in multidisciplinary work or are interested in doing so. Most faculty are satisfied with the way multidisciplinary work is encouraged, valued, understood, and rewarded. Of those actively engaged in it, most feel that there is transparency in the merit and promotion reviews of their work.
- Both men and women are increasingly aware of and use family-responsive policies. Most women with a recent birth event used ASMD, and about two-thirds stopped the tenure clock. Nearly all faculty, with and without children, are now supportive of the family-responsive policies.

- There has been a relative baby boom among Assistant Professors over the last six years, with about two-thirds of them having at least one child, compared to only about one-third in 2003. Given the later average age at which men and women begin tenure-track jobs at Berkeley, this finding is especially promising. The old wisdom suggesting that faculty wait until they receive tenure to begin a family is no longer an option for many individuals, because the average age at which faculty receive tenure at UC Berkeley is now 39 (up from 36.5 years 20 years ago).<sup>18</sup> Family-responsive policies and a seemingly supportive culture make this choice unnecessary for most Assistant Professors.

Despite the many aspects of the faculty's careers and lives that are going well, there continues to be room for improvement. Throughout this report a number of observations have been made regarding ways in which the experiences of a particular group are less positive, policies are not well understood, or more support is needed or desired. The last section of this report outlines recommendations based on these conclusions.

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<sup>18</sup> UC Berkeley faculty personnel records, 1981–2010.

## RECOMMENDATIONS

The findings from this survey provide an opportunity for Berkeley to institute policy or programmatic changes to enhance faculty welfare and career/life satisfaction, foster intellectual achievement and growth, encourage loyalty, and support and improve institutional excellence. This can be done mainly by recalibrating existing resources and providing new resources for faculty at different stages of their careers and lives. The recommendations from this report are a road map for moving forward in the coming years and adapting to the changing values and needs of the Berkeley faculty.

The recommendations are discussed under two overarching themes:

- *Taking advantage of existing opportunities*—institutional changes that are either revenue neutral or low cost, focusing on communication, recalibration, and incorporating changing values
- *Resources to enhance excellence and innovation*—programs, resources, and awards provided where they can be most effective

## TAKING ADVANTAGE OF EXISTING OPPORTUNITIES

### Communication

The findings from the survey illuminate many ways in which clear communication can go a long way toward improving the faculty's understanding of and promoting the use of existing policies or programs.

**Merit and promotion:** All faculty should be knowledgeable about the merit and promotion policies that exist at Berkeley. Yet a significant subgroup of faculty were not aware of three of these policies—requesting a career equity review, requesting an extra merit increase for an accomplishment, and requesting an extra merit increase for excellent teaching, service, or diversity-related work. This is particularly true for Associate Professors.

***Recommendations:*** Create and distribute communication materials highlighting the various policies and processes. Reach out to Associate Professors in particular through deans and/or chairs. Conduct merit and promotion workshops, not just at the pretenure level, but for all ranks.

**Who:** Academic Affairs and Faculty Equity, department chairs and deans.

**Multidisciplinary work:** Most faculty are either actively engaging in some amount of multidisciplinary or interdisciplinary work or would like to. Although most faculty feel positively about conducting multidisciplinary work at Berkeley, many would like more support, acknowledgment, and clarity.<sup>19</sup>

**Recommendations:** Distribute examples of memorandums of understanding that clearly show the delineation of expectations and requirements for faculty engaging in multidisciplinary work. Pay particular attention to the level of obligation assumed by individuals working in more than one department or unit to ensure equity. Provide examples for merit and promotion review where multidisciplinary research and writing have been conducted.

**Who:** Academic Affairs.

**Climate:** Although most faculty seem favorable about many aspects of the climate in their unit/department, there are aspects that clearly deserve attention and consideration. Over a six-year period there was remarkable consistency in faculty survey responses, which implies that the areas that needed improvement in 2003 still stand to gain from efforts in this area. For certain types of survey items, low numbers of the entire faculty population responded favorably, and for others women, underrepresented minority faculty, or individuals from particular ranks responded less favorably than those from other groups. Because these topics are specific to the units and departments, the focus for change should be at that level.

**Recommendations:** Provide data reports, highlighted with areas of concern, to all units and departments on campus with findings on climate (and other relevant topics) specific to their faculty. Support units/departments in addressing report findings with actions, and indicate that a follow-up survey will be conducted in approximately three years to gauge change and opinions.

**Who:** Academic Affairs, Equity and Inclusion.

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<sup>19</sup> The *U.C. Berkeley Strategic Plan*, written in 2002, highlighted the importance of interdisciplinary programs and research for the success of the Berkeley research enterprise: <http://www.berkeley.edu/news/media/releases/2003/05/sap/plan.pdf> (see page 8).

**Underrepresented minority faculty:** Underrepresented minority (URM) faculty are a small group of individuals compared to the overall population of faculty at Berkeley. They are represented in all disciplines but are concentrated in the social sciences, humanities, and professions. Although they are a diverse group of individuals, as a group they are not as satisfied as their White colleagues, and they advance more slowly once they receive tenure. Only one-quarter of URM faculty are very satisfied with support for diversity in their unit or department. They also report receiving less mentoring and are less satisfied with the climate in their unit in general (for example, with the way disputes are handled, unit strategic planning and decision making, the vision in their unit, and how colleagues treat each other).

**Recommendations:** Communicate with departments and units about the less positive experiences of URM faculty as a whole at Berkeley (not specific faculty within their unit). Consult with URM faculty and departments to develop communication materials describing best practices at the department level with respect to equity and inclusion. Provide more support to URM faculty in various forms, such as mentoring, assistance in the middle ranks to meet merit and promotion goals, and guidance about service responsibilities.

**Who:** Equity and Inclusion has begun work in this area; Faculty Equity can support.

### Scholarship Reconsidered<sup>20</sup>

**Values:** At UC Berkeley there is marked evidence that junior and senior faculty have different values with regard to their academic career. When rating a long list of activities, many junior faculty (Assistant Professors and Associate Professors) clearly indicate a desire for a recalibration of merit and promotion review criteria. (However, because the survey is cross-sectional we do not know how much of this evidence is a cohort shift and how much is specific to the respondents' situation, based on rank/step.) Few of the most senior faculty share this desire. Faculty in the more junior ranks are consistently more likely to want nontraditional criteria (for example, mentoring undergraduates, community-based service, and efforts to improve or create new courses) to weigh more heavily in evaluations of themselves and their

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<sup>20</sup> This idea reflects Ernest L. Boyer's *Scholarship Reconsidered: Priorities of the Professoriate*, The Carnegie Foundation for the Advancement of Teaching, 1990, in which Boyer argues for a more broad assessment of the role of a successful faculty member, including a different distribution of research, teaching, and service.



colleagues. Taken together, these nontraditional criteria add up to a more broad-based assessment of accomplishments than is currently the norm, where research and publication significantly trump teaching and service. It seems that all faculty want to produce excellent research and publications while also engaging in the life of the university through teaching and service, but our junior faculty want to be assessed based on a more balanced distribution.

**Recommendations:** Engage in discussions about merit and promotion criteria with faculty from all ranks and the Budget Committee. Understand better the dynamics at play in the differences of opinion. Consider how a shift in priorities may meet other goals. For example, a higher proportion of Associate Professors than faculty at other ranks are dissatisfied with their rank and feel burdened by service responsibilities, and a good number of them spend a decade or more at that level. It will be important to assess the degree to which the teaching and service burdens are shared equitably, and to ensure that professors at all levels are appropriately recognized for the full range of work they do in support of the university's mission.

**Who:** Academic Affairs, Teaching, Learning, Academic Planning and Facilities, Academic Senate, deans and chairs, Executive Vice Chancellor and Provost (EVCP), Budget Committee, faculty.

**Advancement through the middle ranks:** Associate Professors are significantly less satisfied than faculty at other ranks in a number of areas, including their current rank, salary, additional compensation, merit and promotion processes and criteria, service responsibilities, and the amount and type of mentoring they receive. It is quite possible that some of the dissatisfaction is related to the length of time that many Associate Professors stay in the rank, particularly faculty in the humanities, social sciences, and professions. Additionally, this rank is attained at a later age on average than it was in previous generations. It is especially problematic that faculty get stuck at the top of the Associate Professor scale despite continued productivity because they enter the rank at a relatively high level. The result is often no merit increase for one or two merit cycles in the book-based disciplines.

**Recommendations:** Examine and carefully consider the requirements for advancement in the non-PTEM and biological sciences disciplines, where it often takes twice as long for an Associate Professor to be promoted to Full Professor compared to a colleague in a PTEM or biological sciences field, despite continued productivity.

**Who:** Academic Affairs, Academic Senate, EVCP, Budget Committee, faculty.

**Financial stewardship:** The university has a finite pool of money to spend on faculty salaries, including recruitment, decouplings, retention, and above-scale compensation. The use of this money determines the overall size of the UC Berkeley faculty, and decisions made now (for example, large recruitment decouplings or retention offers) will have an impact long into the future. Decisions regarding these issues also affect the morale of the faculty, with many who feel that the salary system is inequitable and broken, as was expressed in the survey findings. Understanding faculty salary is a complex issue because of multiple salary scales, the need to match outside offers, and other factors, but it is important that we make choices that best align with the overall values of the faculty.

**Recommendations:** Conduct a full-scale data assessment of salary, including a historical analysis of salary, decoupling, and retention from the 1970s to the present, as well as peer institution comparisons. Examine the salary scales, practices with respect to decoupling for recruitment and retention, and retention offers.

**Who:** Academic Affairs, EVCP, Budget Committee, Academic Senate.

## RESOURCES TO ENHANCE EXCELLENCE AND INNOVATION

The resources needed to meet the needs of Berkeley faculty, and to address problems and inequities, are not inconsequential and will require a financial investment. An effort through Development and the use of donors is necessary, but such investment will pay dividends through increased productivity, innovation, and satisfaction.

### Junior and Midcareer Faculty

**Excellence in junior faculty research and scholarship:** Assistant Professors are the university's future, but their energies are stretched thin. Besides satisfying extremely demanding tenure criteria for research or scholarship, they must teach, create new course plans, perform departmental or university service, and, especially in their first years, acclimate themselves to a new institution and its policies and administrative procedures. There is also the burden of securing sufficient funding for research or scholarship in a climate of heightened competition for diminished resources—a particularly challenging task for those who work in

“cutting edge” or multidisciplinary fields. The existing Hellman Family Faculty Fund provides invaluable support for pretenure research and scholarship, but there is still much unmet need across the campus.

**Recommendation:** Make a significant number of yearly awards (approximately 20 awards at \$25,000 per award) to Assistant Professors that can be used either to (1) support junior faculty research or scholarship, along the lines of the Hellman Family Faculty Fund, or (2) compensate departments for junior faculty time off in support of these efforts.

**Who:** Academic Affairs.

**Excellence in midcareer faculty research and scholarship:** Many midcareer faculty find that their longstanding engagement with certain intellectual topics or problems leads them to significantly modify or change their research approach or focus. Unfortunately, these faculty often find it difficult to secure the funding that would allow them to set out in a new direction. This difficulty can hinder achievement and career satisfaction, as well as diminish the vibrancy of individual departments. Obtaining needed research funding can also be a serious issue for certain other faculty, such as humanities or social science professors devoting a number of years to a major book. For both groups, the current highly competitive climate for research funding is an added burden.

**Recommendation:** Make a significant number of yearly awards (approximately 10 awards at \$50,000 per award) to midcareer professors to provide them with (1) “seed funding” for modified or new research directions, (2) funding for projects, such as a major book, that extend over a period of years, or (3) supplemental sabbatical research funding for faculty earning less than their full salary during a sabbatical.

**Who:** Academic Affairs.

## Senior Faculty

**Active retirement:** Senior faculty, many with decades of service to Berkeley, all too often end their careers by abruptly giving up a longstanding immersion in research and teaching for a retirement in which these activities have little or no place. This type of sudden and life-

transforming transition not only constitutes a difficult experience for many retirees, but also amounts to a premature loss of knowledge and expertise to the university.

**Recommendations:** Provide new options for senior faculty to continue to make meaningful contributions to their field and the university, and to feel an integral part of the campus community, for a specified period of time. Increase opportunities for retired faculty to continue contributing through such avenues as giving guest lectures in current courses, advising or mentoring students, and performing departmental service.

**Who:** Academic Affairs, Retirement Center, EVCP.

## All Faculty

**Excellence and innovation in teaching and mentoring:** Teaching and mentoring students are both critical to the university's mission and personally and intellectually rewarding to faculty. Yet professors often lack sufficient resources to conduct their current courses and mentoring activities as effectively as they would like, or to develop and implement innovations that would take their teaching and mentoring to a higher level. The result is missed opportunities for both faculty and students.

**Recommendations:** Make a significant number of yearly awards (approximately 15 awards at \$10,000 per award) to support excellence and innovation in teaching and student mentoring. Faculty could use these awards for such purposes as hiring graduate student assistants for course-related administrative or research tasks; acquiring training or practical experience in a new discipline or methodology whose incorporation would enrich their syllabi; adding a fieldwork or community-service component to an existing course; using new technology in the classroom; or running innovative mentoring groups that mix students of different levels, employ graduate students as near-peer leaders, or target specific student populations.

**Who:** Academic Affairs, Teaching, Learning, Academic Planning and Facilities, Equity and Inclusion.

**Mentoring:** Many faculty members at all ranks would like to receive more mentoring and support, with faculty in the more junior ranks the most interested. In many cases, nearly as

many Associate Professors as Assistant Professors desire help with activities such as obtaining grants, publishing, research, and the review process. And a number of Full Professors want mentoring in specific areas. Faculty from underrepresented minority groups indicate that they desire more mentoring than they receive.

**Recommendations:** Create a mentoring program that draws individual faculty from across the disciplines together in groups with particular strengths. For example, create diverse groups of six to eight trained mentors on topics such as the research process (including grant writing and advice on research), teaching, leadership, the review process, establishing collaborative research, and balancing work and family. Create a website with photos, bios, and contact information for the members of each mentor team, and allow individual faculty at any rank or discipline to contact a mentor of their choosing to discuss the topical area in a confidential manner. Ask members to serve on mentor teams for three to five years, and give service credit for their contribution.

**Who:** Equity and Inclusion is in the process of creating a general mentoring program. The Office of the Vice Provost for Teaching, Learning, Academic Planning, and Facilities is in the process of cultivating a broad teaching mentoring program under the Office of Educational Development.

**Junior and middle-rank faculty leadership growth opportunities:** There is a need across the campus to prepare faculty to transition into, and perform effectively in, campus leadership positions such as chair and dean. Many faculty indicated that they would like more support in this area.

**Recommendations:** Provide opportunities and support for junior and middle-rank faculty to assume leadership positions as associate chair or associate dean, and as chairs of department, college, or Academic Senate committees. Reinvigorate participation in the Academic Senate as an important means of participating in governance and as preparation for leadership positions. Run workshops to provide information about leadership opportunities.

**Who:** Academic Senate, deans.

**Community of scholars:** Opportunities to build professional relationships, collaborate on research and teaching, and interact informally contribute to the success and satisfaction of faculty yet more could be done to bring professors together, particularly those in emerging disciplines at higher risk of intellectual and professional isolation.

**Recommendations:** Make yearly awards (approximately 10 awards at \$25,000 per award) to fund research and/or teaching collaborations to be undertaken by faculty teams that bring together professors from two or more departments. Institute periodic “open house” events in which one or a few related departments briefly present current research priorities and projects to faculty from other departments. Create a variety of “for faculty” cultural, educational, and social events to be held throughout the academic year; these might include art exhibitions, concerts by faculty musicians or singers, Cal Performances or Berkeley Rep performances with receptions allowing attendees to meet performers and directors, special campus museum tours, a start-of-semester reception bringing together faculty from all departments, and a monthly play opportunity for faculty with children.

**Who:** Academic Affairs, Equity and Inclusion, Office of the Vice Provost for Teaching, Learning, Academic Planning, and Facilities.

**Excellence in service:** Many faculty devote extraordinary efforts in service to the university, yet there are limited opportunities for acknowledgment. The service may be to an individual unit or department, for the university as a whole, or in the community.

**Recommendation:** Give awards (approximately 5 at \$25,000 per award and 20 at \$5,000 per award) and public acknowledgment to faculty who make exceptional contributions in public service.

**Who:** Academic Affairs, Faculty Equity.

**Institutional accountability research and analysis:** The collection and analysis of high-quality data are essential to Berkeley’s efforts to develop, support, and enhance policies, programs, and other activities that promote faculty welfare and institutional excellence. Currently, Berkeley plays a leadership role in institutional research among leading universities, but its activities need to be scaled up to better measure and assess effectiveness.

**Recommendation:** Build on the excellent existing infrastructure in institutional research and analysis to provide adequate support to conduct new yearly surveys aimed at gathering information pertaining to faculty recruitment and retention, the use of family-friendly policies, faculty awards, and the postdoctoral experience, among other areas.

**Who:** Academic Affairs, Faculty Equity.

**Balancing work and life:** Berkeley is a national leader in developing and providing an integrated infrastructure of family-friendly and healthy work/life balance policies and programs for faculty. Nevertheless, this infrastructure needs expansion if it is to effectively support faculty career satisfaction, faculty achievement and success, and institutional excellence.

**Recommendations:** Allow and support one active service–modified duties (ASMD) period over the course of one’s career for such purposes as non-child-related family care or the adoption of a child age five or older. (Currently, the ASMD benefit covers only preparation for and/or care of a newborn or a child under age five). Increase substantially the number and types of quality child care and family care slots available to faculty. Extend CALcierge services to faculty throughout their careers.

**Who:** Academic Affairs, Faculty Equity.

## CONCLUSION

Berkeley as an institution, and the tenure-track faculty who work here, can take pride in knowing that for the most part we are succeeding at making our university the kind of place that provides a satisfying and successful career. Many efforts have been undertaken in the last 5 to 10 years that have improved the quality of career/life experiences for all faculty, and particularly for women and underrepresented minorities. Some of the recommendations noted in this report require soul searching and prioritizing, but many can be instituted with resources we already have and at a low cost. Together, they will go a long way toward meeting our goals of a fully equitable, inclusive, stimulating, and supportive environment for all faculty.